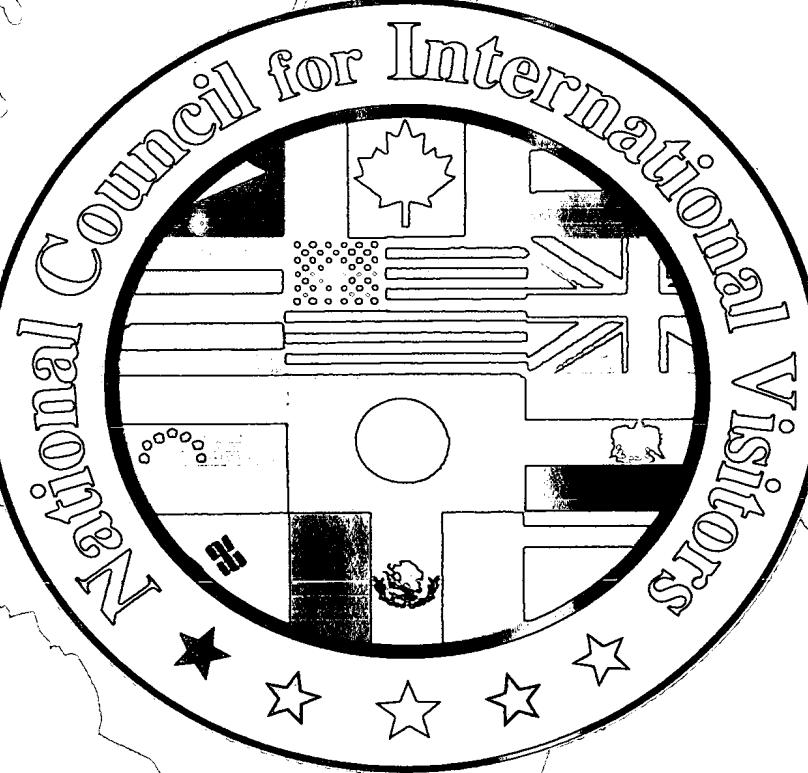


# Marketing on the Net 2000



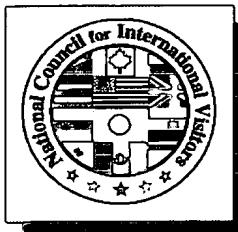
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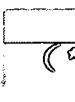
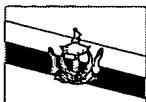
*United States Information Agency's*  
**National Council for International Visitors**

IdeaNet 98 - International Data Exchange Access Network

International Data Exchange Network, Patent Pending 60/115,345

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IdeaNet98 - International Data Exchange Network, Small Business Entity. This application claims the benefits of US Provisional Application No. 115,343 filed on 01/06/99.

The file of this patent contains at least one drawing executed in color. Copies of this patent with color drawing(s) will be provided by the US Patent and Trademark Office upon payment of the necessary fee.

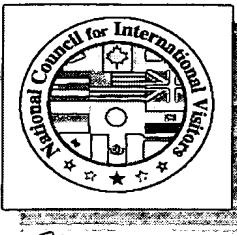
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## United States Information Agency's National Council for International Visitors

### IdeaNet 98 - International Data Exchange Access Network

International Data Exchange Network, Patent Pending 60/115,345

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Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343  
1134

OMB Control Number 3116-0212  
Expiration Date 4/30/98

**PROPOSAL SUBMISSION  
INSTRUCTIONS  
(PSI)**

**Request for Proposals (RFPs)**

United States Information Agency  
Bureau of Educational and Cultural Affairs

Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343  
1135

## STANDARD GUIDELINES

### BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS ASSISTANCE AWARD PROPOSALS

#### TECHNICAL ELIGIBILITY

Technically eligible submissions are those which: 1) arrive to the Agency by the designated date before 5 p.m. Washington, D.C. time; 2) have heeded to all instructions contained in the solicitation document and Solicitation Package including length and completeness of submission; and, 3) do not violate any of the guidelines stated in the Standard Program Guidelines.

#### NONPROFIT ORGANIZATIONS

The Mutual Educational and Cultural Exchange Act of 1961, as amended (Fulbright-Hays Act) stipulates that USIA grants and cooperative agreements be with foundations or institutions which are public or private nonprofit. If your organization is a private nonprofit and has not received a grant or cooperative agreement from USIA in the past three years, or if you received nonprofit status from the IRS within the past four years, you must submit the necessary documentation to verify your nonprofit status. Failure to do so will cause your proposal to be declared technically ineligible.

#### OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULARS

Organizations should be familiar with OMB Circulars A-110 (Revised) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations), A-122/A-21 (Cost Principles for Nonprofit Organizations; Indirect Costs), and A-133/A-128 (Audits of Institutions of Higher Education and Other Nonprofit Organizations) on cost accounting principles.

For a copy of the OMB circulars cited, please contact Government Publications.

## AUDITS

The recipient's proposal shall include the cost of an audit that:

- (1) complies with the requirements of OMB Circular No. A-133, "Audits for Institutions of Higher Education and Other Nonprofit Institutions;"
- (2) complies with the requirements of American Institute of Certified Public Accountants (AICPA) Statement of Position (SOP) No. 92-9, "Audits of Not-for-Profit Organizations Receiving Federal Awards;"
- (3) Complies with AICPA Codification of Statements on Auditing Standards AU Section 551, "Reporting on Information Accompanying the Basic Financial Statements in Auditor-Submitted Documents," where applicable. When USIA is the largest direct source of Federal financial assistance -- i.e. the cognizant Federal Agency -- and indirect costs are charged to Federal grants, a supplemental schedule of indirect cost computation is required.

The audit costs shall be identified separately for:

- (1) audit of the basic financial statements, and
- (2) supplemental reports and schedules required by A-133.

USIA's Office of Inspector General has provided supplemental guidance for conducting A-133 audits and recovery of related audit costs in a separate "Dear Colleague" letter dated January 25, 1995.

## COST SHARING

The Bureau of Educational and Cultural Affairs encourages cost-sharing, which may be in the form of allowable direct or indirect costs. The recipient of an assistance award must maintain written records to support all allowable costs which are claimed as being its contribution to cost participation, as well as costs to be paid by the Federal government. Such records are subject to audit.

The basis for determining the value of cash and in kind contributions must be in accordance with OMB Circular A-110 (Revised), Subpart C (23) "Cost-sharing or Matching," and should be described in the proposal.

In the event the recipient does not meet the minimum amount of cost-sharing as stipulated in the recipient's budget, the Agency's contribution will be reduced in proportion to the recipient's contribution.

#### **INDIRECT COST-RATE**

If your organization has an indirect cost-rate agreement with the U.S. Government, please include a copy of the agreement as an addenda to the budget. An applicant must indicate in the proposal budget how the rate is applied. USIA does not pay indirect costs against participant expenses.

#### **CONFERENCES**

USIA does not support proposals limited to conferences or seminars of only a few days length which are organized as plenary sessions, major speakers, and panels with a passive audience. The Agency will support conferences only insofar as they are a minor part of a project with greater duration and scope which is receiving USIA funding from this competition.

#### **TRAVEL**

In order to keep grant travel costs to a minimum, the Agency requires most assistance award recipients to take advantage of Government discount airline fares for grantee and escort travel within the U.S. This is not required, however, if the assistance award recipient organization can demonstrate that it can obtain lower fares than the Government's, or if one of the following conditions applies:

- Organization is receiving a grant for the first time;
- Organization has grantee and grant-related staff travel of less than \$5,000 per year;
- Organization is a university which is normally required to use its university travel office;
- Organization has grant(s) with just international travel (or majority of travel funds in international travel).

The options an assistance award recipient has for arranging U.S. domestic travel for grantees are:

- (a) through the TMC - Travel Management Center at Omega Travel, located in the USIA headquarters (202-646-0100 or 1-800-999-9049), or
- (b) using own travel agent.

Under the TMC method, the Agency does not make the travel funds directly available to the recipient organization, but rather sets aside the funds in the assistance award to be accounted for separately as expenses are incurred and liquidated. In order to ensure that the set-aside for this purpose not be exceeded, the recipient organization must closely monitor the grant travel costs and advise the USIA program officer if more (or less) funds are needed than originally anticipated. Detailed instruction on use of the TMC will be provided when the grant/cooperative agreement is awarded. Recipient staff and consultants are not allowed to use TMC.

**NOTE: PREFERRED TRAVEL OPTION MUST BE INDICATED ON THE ADDITIONAL INFORMATION" SHEET FOUND IN THE SOLICITATION PACKAGE.**

## DIVERSITY

It should be noted that a greater emphasis is being placed on promoting diversity in Bureau programs. Diversity should be interpreted in the broadest sense and encompass differences including but not limited to ethnicity and race, gender, religion, geographic location, socio-economic status, and physical challenges. Applicants are strongly encouraged to adhere to the advancement of this principle throughout the proposed program.

Proposals should demonstrate substantive support of the Bureau's policy on diversity. Achievable and relevant features promoting diversity should be cited in both program administration and in program content. Suggested elements under these subheadings could include:

### **Program Administration:**

- Selection of U.S. and foreign program participants should reflect all relevant forms of diversity (ethnicity, gender, geographic regions, etc.) to the extent possible;
- Program locations should reflect geographic diversity and, where relevant, socio-economic diversity;
- Program evaluation should incorporate an examination of the program from a variety of perspectives, including the establishment of diversity criteria and how the program meets these criteria/goals.

### **Program Content:**

- Orientation should include a session on multi-ethnicity and multi-culturalism for in-bound participants as well as for participants going abroad;
- In seminars, workshops, meetings and other forms of interaction, relevant diversity issues should be addressed either directly (as a topic) or indirectly (through contact with individuals of diverse backgrounds);
- Wrap-up and re-entry sessions should include a component on diversity issues observed in the U.S., and , if relevant, a comparative world-wide view of diversity;
- Resource lists and research material should contain a broad representation of subjects, authors and titles reflecting diversity in the U.S.;
- Program follow-up should ensure mechanisms for the continual promotion of diversity issues.

## TAXES

Grantees under USIA-funded projects are responsible for complying with all applicable tax treaties and federal, state and local laws on tax withholding and reporting for project participants. Because of the complexity of current tax laws regarding scholarship and fellowship income, it is strongly recommended that grantees consult with tax counsel regarding such compliance.

## INSURANCE

Exchange program regulations require that all J visa holders carry health and accident insurance. At a minimum, insurance must provide the following benefits:

- (1) medical coverage of at least \$50,000 per person per accident or illness;
- (2) repatriation of remains in the amount of \$7,500; and
- (3) medical evacuation benefits of at least \$10,000.

In addition, a qualified insurance program shall not have a deductible that exceeds \$500 and it must meet other technical standards as specified in the regulations (22 CFR Part 514).

USIA provides health and accident insurance which is in compliance with 22 CFR Part 514. The Agency insures USIA-funded international and U.S. participants in a variety of exchange-of-persons programs at no cost to the participants. This insurance is not all-purpose health insurance; it is subject to specific limitations. **This coverage is not intended to replace any insurance a participant may already have. Instead, the intent is to supplement existing coverage and to ensure that a participant's basic health is protected in a foreign country.**

If the applicant will not be using USIA's insurance, the applicant should budget (under program costs per participant) for insurance. It is expected that participants will be provided with insurance for those periods when they are actually participating in exchange activities. The period of coverage does not necessarily coincide with the duration of the funded project.

## REQUIRED FORMS

Included in the Solicitation Package are instructions on forms that must be submitted or accounted for by the applicant. Please take care to ensure that all forms are up-to-date and on file at your organization.

**STANDARD BUDGET PREPARATION GUIDELINES**  
**BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS**  
**ASSISTANCE AWARD PROPOSALS**

The applicant organization's original budget responding to the solicitation guidelines must be submitted with the proposal. Use specific line-items which correspond to the directives of the solicitation document.

Provide a detailed line-item budget as a part of your grant proposal, translating the activities described in the proposal narrative into specific cost requirements.

A minimum of three columns should be used to delineate USIA funding requested, funding being cost-shared by the applying organization, and total funding of the project. Please include narratives where necessary to explain specific line-items and how the amounts were derived.

**The three column proposal line-item budget must include these main components:**

- A. Summary Budget
- B. Line-item Program Budget
- C. Line-item Administrative Budget

**A. SUMMARY BUDGET:**

A chart indicating the total program and administrative costs and the cost of the proposed project should be included. Costs per participant are to be included as shown below:

**SAMPLE SUMMARY BUDGET**

	USIA	Cost Sharing	Total
<b>PROGRAM COSTS</b>			
Program costs per participant			
<b>ADMINISTRATIVE COSTS</b>			
Administrative costs per participant			
<b>TOTAL COSTS</b>			
Total costs per participant (Number of participants: _____)			

## B. LINE-ITEM PROGRAM BUDGET:

The solicitation under which you are applying provides guidance on admissible program costs. In addition, applicant organizations should follow, in general, the outline and sample budget format below.

Funding requirements by source (USIA, cost-share, etc.) are to be listed for each line item. General program costs which do not vary according to the number of participants are separated from program costs which do vary according to the number of participants. All contributions should be included, whether cash or in-kind contributions. Assign a monetary value in U.S. dollars to each in-kind contribution.

If the proposed project is a component of a larger program, identify the other funding sources for the proposal and indicate the specific funding to be provided by those sources.

1. **General Program Costs:** Program costs that do not vary according to the number of participants.
  - a. **Lecture fees, honoraria, travel, and per diem for outside speakers:** List names and rates per day (e.g., 2 x \$150/day x 2 days).
  - b. **Staff travel and per diem:** separate costs into four areas:
    - 1) international airfare
    - 2) in-country travel overseas
    - 3) domestic travel in the U.S.
    - 4) per diemExplain any differences in fares among travelers on the same routes (e.g., a project staff member traveling for three weeks whose fare is higher than that of a staff member traveling for four months).
  - c. **Materials:** Film and video rentals, educational materials, etc., as appropriate.
  - d. **Group costs:** Ground transportation in the U.S., cultural and educational program costs.
2. **Program Costs for Participants:** Program costs that vary according to the number of participants.
  - a. **Travel:** separate costs into three areas:
    - 1) international airfare
    - 2) in-country travel overseas
    - 3) domestic travel in U.S.Explain any differences in fares among travelers on the same routes (e.g., a participant traveling for three weeks whose fare is higher than that of a participant traveling for four months).

- b. **Per Diem/Maintenance:** Includes lodging, meals and incidentals for both participant and staff travel. Rates of maximum allowances for U.S. and foreign travel are available from USIA upon request. Per diem rates may not exceed the published U.S. government allowance rates. However, institutions may use per diem rates lower than official government rates. Homestays, dormitory stays, hotel room-sharing, and similar means of lowering the per diem cost are permissible.
- c. **Orientation:** The cost of travel and per diem other than for participants, speaker fees, preparation of materials, printing and copying may be included with other expense categories or listed as a separate category. It may be necessary to identify additional costs under this heading, such as room rental.
- d. **Health Insurance:** In general, participants are covered by the Agency's self-insurance policy. Refer to Program Guidelines for clarification.
- e. **Other Program Costs:** These will vary depending on the nature of the project. Academic fees, cultural allowances, and book allowances are possible items. The inclusion of each must be justified.
- f. **Scholarships/Tuition:** When the proposal requests support for academic scholarships or tuition, the applicant must identify the costs included. If only the cost of international travel is requested, this must be clearly identified. If the scholarship includes other administrative and program expenses, each item of expense must be listed and explained to insure that there is no overlap with other requested budget items.

**SPECIAL NOTES -- USIA DOES NOT PAY FOR THE FOLLOWING:**

- The publication of materials for distribution in the United States;
- The administration of a program that will make a profit;
- Expenses incurred before or after the specified dates of the grant;
- Projects designed to advocate the policy views or positions of foreign governments or the views of a particular political faction;
- Entertainment expenses;
- Contingency funds to cover unexpected costs, including salary increases, increased airfares, and other inflationary factors.

## SAMPLE LINE-ITEM PROGRAM BUDGET

PROGRAM BUDGET	USIA Funds	Cost Sharing	Total Funds
<b>A. General Program Costs</b>			
1. Honoraria and per diem			
2. Staff travel and per diem			
a. International travel			
b. In-country travel overseas			
c. Domestic travel in U.S.			
d. Per diem			
3. Educational materials			
4. Group ground transportation			
Other			
<b>Total General Program Costs</b>			
<b>B. Participant Program Costs</b>			
1. Participant Travel			
a. International travel			
b. In-country travel overseas			
c. Domestic travel in U.S.			
2. Maintenance/per diem: list number of participants, rate, number of days			
3. Orientation			
a. Materials			
b. Room/equipment rentals			
Other			
<b>Total Participant Program Costs</b>			
<b>TOTAL PROGRAM COSTS</b>			

### C. LINE-ITEM ADMINISTRATIVE BUDGET:

The line-item administrative budget includes a description of each type of cost and elaborates on the categories listed below.

1. **Staff requirements:** Identify proposal's staffing requirements by title of each position and, as necessary, a brief description of duties. List annual salary of each position, percentage of time and number of months devoted to the project (e.g., Administrative Director: \$30,000/year  $\times$  25%  $\times$  8.5 months; calculation: \$30,000/12 = \$2,500  $\times$  25%  $\times$  8.5 months = \$5,312).
2. **Benefits:** State benefit costs separately from salary costs. Explain how benefits are computed for each category of employee.
3. **Other Direct Administrative Expenses:** List items separately using unit costs for telephone/telefax, postage, photocopying, printing, office supplies (e.g., Telephone: \$25/month  $\times$  12 months).
4. **Indirect Expenses:** See OMB Circular A-122, "Cost Principles for Non-profit Organizations"
  - a. If your organization has an indirect cost-rate agreement with the U.S. Government, please include a copy of the indirect cost-rate agreement as an addenda to the budget.
  - b. Please indicate how the rate is applied--to direct administrative expenses, to all direct costs, to wages and salaries only, etc.
  - c. USIA does not pay indirect costs against participant support costs. Do not include indirect costs against participant expenses in the USIA budget.

#### SPECIAL NOTES:

- The limit on administrative costs includes both direct administration charges and indirect charges, whether or not the indirect charges are based on program or administration expenses.
- Expenses, especially administrative costs, should be cost-shared. The portion of costs absorbed by the applicant organization should be clearly stated in the budget as the applicant organization's contribution.
- Preference is given to applicants proposing to waive or substantially cost share indirect expenses in order to utilize the highest possible proportion of funds for direct program costs.

## SAMPLE LINE-ITEM ADMINISTRATIVE BUDGET

	USIA Funds	Cost Sharing	Total Funds
1. Salaries: by position and rate			
2. Fringe Benefits: specify type and rate			
3. Telephone/telefax			
4. Copying			
5. Postage			
Other			
6. Indirect Costs			
<b>TOTAL ADMINISTRATIVE COSTS</b>			

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## APPLICANT INFORMATION AND REQUIRED FORMS

### UNITED STATES INFORMATION AGENCY BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS ASSISTANCE AWARD PROPOSALS

The Assistance Award Proposal Cover Sheet should be completed and included as TAB A in the proposal submission. One additional copy of the Application cover sheet should be included in an envelope marked "Attention: E/XE."

The Additional Applicant Organization Information Form should be completed and included with any necessary attachments in the proposal submission under TAB F. The Agency retains the right to ask for further documentation of those items included on this form.

All organizations submitting a proposal must **read, sign and retain** in their main administrative offices the forms and/or certificates listed below. The Certification of Compliance with Federal Forms (Form IAP-135) must be signed and included in the proposal submission under TAB F.

**Please note:** Applicants no longer need to include the original Federal forms or copies with the proposal submission. The signature on the Certification of Compliance with Federal Forms indicates that the applicant is in compliance with the instructions to read, sign, and retain in their main administrative office, the attached forms:

1. Certification Regarding Drug-Free Workplace:  
Form IA-1285 attached.
2. Lobbying Certification for Contracts, Grants and Cooperative Agreements:  
Form M/KR-13, and SF Form-LLL attached.
3. Certification Regarding Debarment, Suspension and Other Responsibility Matters:  
Form IA-1279 attached.
4. Assurance of Compliance with U.S. Information Agency Regulations Regarding Nondiscrimination: Form IAP 100 attached.

Public reporting burden for this collection of information (Paperwork Reduction Project: OMB 3116-0212) is estimated to average twenty hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: USA Clearance Officer, M/ADD, U.S. Information Agency, 301 4th Street, S.W., Washington, D.C. 20547; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

**BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS  
 ASSISTANCE AWARD PROPOSAL COVER SHEET**

1. DATE SUBMITTED	2. REFERENCE NUMBER #	3. GRANT NUMBER
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**4. APPLICANT INFORMATION**

LEGAL NAME:	ORGANIZATIONAL UNIT:
ADDRESS (give city, state, zip)	Name, telephone and fax number (with area code) of the person to be contacted on matters involving this application.

**5. EMPLOYER IDENTIFICATION NUMBER (EIN):** \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

6. TYPE OF APPLICANT: _____			7. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, provide appropriate letter(s). _____ A. Increase Award    C. Increase Duration B. Decrease Award    D. Decrease Duration OTHER: _____
A. State	E. Special District	I. Individual	
B. County	F. Independent School District	J. Non-Profit Org.	
C. Municipal	G. State Controlled Inst. of Higher Learning	K. Other (Specify)	
D. Township	H. Private University		
8. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:			9. AREAS/COUNTRIES AFFECTED BY PROJECT:

**10. PROJECT DESCRIPTION:**

11. PROPOSED PROJECT:	14. ESTIMATED FUNDING:		
Start Date	Ending Date	a. Federal	.00
		b. Applicant	.00
12. J-1 VISA DESIGNATION:		c. State	.00
		d. Local	.00
		e. Other	.00
13. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? YES <u>      </u> If "Yes" attach an explanation    NO <u>      </u>		f. Program Income	.00
		g. TOTAL	.00
15. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative		b. Title	c. Telephone number
d. Signature of Authorized Representative			e. Date Signed

INSTRUCTIONS FOR ASSISTANCE AWARD PROPOSAL COVER SHEET

This standard form is used by applicants as a required cover sheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

1. Date application submitted to Federal agency.
2. Reference number of program listed in the solicitation (E/\_-\_-\_-).
3. If this proposal is requesting an amendment to continue or revise an existing grant agreement, enter the agreement's Federal identifier number. If the proposal is requesting funds for a new project, leave blank.
4. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name, telephone and fax number (internet address optional) of the contact person to contact for this application.
5. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
6. Enter the appropriate letter in the space provided.
7. Check the appropriate box and enter appropriate letter(s) in the space(s) provided:  
- "New" means a new assistance award.  
- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.  
- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
8. Enter a brief descriptive title of the project.
9. List only the largest political entities affected (e.g. Geographic areas, Foreign countries, Regions, Cities)
10. Self-explanatory. Use space provided.
11. Indicate the start and end dates when assistance award funds will be expended for the project.
12. Indicate applicant organization's J-1 visa designation number.
13. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include audit disallowances, loans and taxes.
14. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories. If a category does not apply to proposal submission, leave blank.
15. To be completed and signed by the authorized representative of the applicant.

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ADDITIONAL APPLICANT ORGANIZATION INFORMATION FORM  
BUREAU OF EDUCATIONAL AND CULTURAL AFFAIRS  
ASSISTANCE AWARD PROPOSALS

Please supply the following information:

1. Does the applicant organization currently have J-1 Visa Designation?  
Yes \_\_\_\_\_ No \_\_\_\_\_

2. Congressional District Number: \_\_\_\_\_

Member of the House of Representatives:

Senators:

3. Travel Policy Option Statement:

Indicate your choice of options for processing domestic U.S. air travel.

TMC - Omega World Travel at USIA \_\_\_\_\_ OR  
Local Omega World Travel Office \_\_\_\_\_ OR  
Organization's own travel agent \_\_\_\_\_

4. Current Tax Exempt Status:

Attach a copy of Internal Revenue Service notification of current tax-exempt status. If your organization has received an assistance award (grant or cooperative agreement) from USIA within the past three (3) years, no submission is required.

Attached \_\_\_\_\_  
Previously submitted \_\_\_\_\_

5. Accounting system:

Describe in the space below the organization's accounting system. Is it manual, automated, or a combination of both? Does the organization employ a double entry system? Does the accounting system allow grant funds and expenditures to be readily identified?

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Continuation of Additional Applicant Organization Information Form (2 of 2)

6. Indirect Cost Rate:

For organizations with an audited indirect cost rate from other than USIA, include as an attachment to this form the agreement prepared by the cognizant federal government agency. If the applicant organization currently has an assistance award from USIA, the agreement does not need to be submitted at this time unless the applicant organization has negotiated a new **indirect cost rate** with a cognizant agency other than USIA during the past 12 months.

Attached \_\_\_\_\_  
Not applicable \_\_\_\_\_

7. Financial Statement and Certified Annual Audit Report:

Private non profit 501 (c) (3) applicant organizations must include the organization's most recent financial statement and certified annual audit report unless it will be submitted to the USIA Contracts Office as part of the reporting requirements of a current USIA assistance award. If the most recent reports have been previously submitted, please include a cover statement explaining when the next financial statement and audit will be issued.

Financial statement/audit report attached \_\_\_\_\_  
Statement indicating issue date of next audit \_\_\_\_\_  
To be submitted to the Office of Contracts (indicate the name and number of the assistance award)  
\_\_\_\_\_

8. For first time applicant organizations and organizations which have not received an assistance award (grant or cooperative agreement) from USIA during the past three (3) years:

Private non-profit organizations which derive their status form 501 (c) (3) must submit as an attachment to this form the following:

one (1) copy of their Charter OR Articles of Incorporation; and,  
a list of the current Board of Directors.

Please note: Public institutions (state, city, town, etc.) and Institutions of Higher Education need not submit the documents in 7) & 8).

For renewal applicants: It is assumed that the applicant organization will continue to process all **travel and insurance** issues in the manner described in the current grant. If the applicant organization wishes to deviate from the established norm, the changes must be described in the narrative of the application.

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(5/94)

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## CERTIFICATION OF COMPLIANCE WITH FEDERAL FORMS

As the duly authorized representative of the Applicant, I hereby certify that the Applicant will comply with the following statutes, executive orders and regulations.

NOTE: This form must be signed and included in the proposal submission package whenever an organization applies to the USIA Bureau of Educational and Cultural Affairs for a new or renewal award.

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1. Federal statutes relating to nondiscrimination: (a) Title VI of the Civil Rights Act of 1964 (42 USC 200d et seq.); (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 USC 794) (see also 22 CFR Part 530); (c) Title IX of the Education Amendments of 1972 (20 USC 1681 et seq.); (d) Age Discrimination Act of 1975, as amended (42 USC 6101 et seq.) (see also 22 CFR Part 143), and provisions of the Americans with Disabilities Act of 1990 and the Civil Rights Act of 1991, as applicable.
  2. Executive Order 12549 of February 18, 1986, Debarment and Suspension; 22 CFR Part 513.
  3. Drug-free Workplace Act of 1988 (41 USC 701 et seq.); 22 CFR Part 513.
  4. New Restrictions on Lobbying (31 USC 1352); 22 CFR Part 519.

TYPED NAME AND SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION (NAME, ADDRESS, TELEPHONE)	DATE SUBMITTED

## **CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS GRANTEES OTHER THAN INDIVIDUALS**

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This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 22 CFR Part 513, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government-wide suspension or debarment (see 22 CFR Part 513, Section 513.615 and 513.620).

The grantee certifies that it will provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing a drug-free awareness program to inform employees about:
  - a. The dangers of drug abuse in the workplace;
  - b. The grantee policy of maintaining a drug-free workplace;
  - c. Any available drug counseling, rehabilitation, and employee assistance programs; and
  - d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
3. Making it a requirement that each employee engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will:
  - a. Abide by the terms of the statement; and
  - b. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such a conviction.
5. Notifying the Agency within ten days after receiving notice under subparagraph 4.b. from an employee or otherwise receiving actual notice of such conviction;

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## Continuation of Drug-Free Workplace Requirements (2 of 2)

6. Taking one of the following actions, within 30 days or receiving notice under subparagraph 4.b., with respect to any employee who is so convicted -
    - a. Taking appropriate personnel action against such an employee, up to and including termination; or
    - b. Requiring such employee to participate satisfactorily in a drug assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
  7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5, and 6.

**Place(s) of Performance:**

The grantee shall insert in the space provided below, the site(s) for the performance of work done in connection with the specific grant (street address, city, county, state, zip code):

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**Organization Name**

**Award Number or Project Name**

**Name and Title of Authorized Representative**

Signature

Date

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## **LOBBYING CERTIFICATION FOR CONTRACTS, GRANTS AND COOPERATIVE AGREEMENTS**

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The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each failure.

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Signature/Date

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Printed/Typed Name

**DISCLOSURE OF LOBBYING ACTIVITIES**

(Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352)

1. Type of Federal Action: a.contract b.grant c.cooperative agreement d.loan e.loan guarantee f.loan insurance	2. Status of Federal Action: a.bid/offer/application b.initial award c.post-award	3. Report Types: a.initial filing b.material change  For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: Prime Subawardee Tier _____ if known:  Congressional District, if known: _____	5. If Reporting Entity in No. 4 is Subawardee. Enter Name and Address of Prime  Congressional District, if known: _____	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
10. a) Name and Address of Lobbying Entity (If individual, last name, first name, M.I.)  (attach Continuation Sheet(s) SF-LLL-A, if necessary)	b) Individuals Performing Services (including address if different from No. 10a) (last name, first name, M.I.)  (attach Continuation Sheet(s) SF-LLL-A, if necessary)	
11. Amount of Payment (check all that apply): \$ _____ actual planned	13. Type of Payment (check all that apply): a. retainer b. one-time fee c. commission d. contingent fee e. deferred f. other; specify: _____	
12. Form of Payment (check all that apply): a. cash b. in-kind: specify: nature _____ value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including office(s), employee(s), or Member(s) contacted, for Payment indication in Item 11.  (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
15. Continuation Sheet(s) SF-LLL-A attached: YES NO		
16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		
Signature: _____ Print Name: _____ Title: _____ Telephone No. _____ Date: _____		

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DISCLOSURE OF LOBBYING ACTIVITIES  
CONTINUATION SHEET

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

Approved by OMB  
0348-0046

Authorized by Local Reproduction  
Standard Form - LLL-A

## NEW RESTRICTIONS ON LOBBYING

### (a) Definitions. As used in this clause,

"Agency," as defined in 5 U.S.C. 552(f), includes Federal executive departments and agencies as well as independent regulatory commissions and Government corporations, as defined in 31 U.S.C. 9101(i).

"Covered Federal action" means any of the following Federal actions:

1. The awarding of any Federal contract;
2. The making of any Federal grant;
3. The making of any Federal loan;
4. The entering into of any cooperative agreement; and
5. The extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

Covered Federal action does not include receiving from any agency a commitment providing for the United States to insure or guarantee a loan.

"Indian tribe" and "tribal organization" have the meaning provided in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450B). Alaskan Natives are included under the definition of Indian tribes in that Act.

"Influencing or attempting to influence" means making, with the intent to influence, any communication to or appearance before an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any covered Federal action.

"Local government" means a unit of government in a State and, if chartered, established, or otherwise recognized by a State for the performance of a governmental duty, including a local public authority, a special district, an intrastate district, a council of government, a sponsor group representative organization, and any other instrumentality of a local government.

"Officer or employee of an agency" includes the following individuals who are employed by an agency:

1. An individual who is appointed to a position in the Government under title 5, U.S. Code, including a position under a temporary appointment;
2. A member of the uniformed serves as defined in section 101(3), title 37, U.S. Code;
3. A special Government employee as defined in section 202, title 18, U.S. Code; and,
4. An individual who is a member of a Federal advisory committee, as defined by the Federal Advisory Committee Act, title 5, U.S. Code, Appendix 2.

"Person" means an individual, corporation, company, association, authority, firm, partnership, society, State, and local government, regardless of whether such entity is operated for profit or not for profit. This term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Reasonable compensation" means, with respect to a regularly employed officer or employee of any person, compensation that is consistent with the normal compensation for such officer or employee for work that is not furnished to, not funded by, or not furnished in cooperation with the Federal Government.

"Reasonable payment" means, with respect to professional and other technical services, a payment in an amount that is consistent with the amount normally paid for such services in the private sector.

### Continuation Of New Restrictions On Lobbying (2 of 6)

"Recipient" includes all contractors and subcontractors at any tier in connection with a Federal contract. The term excludes an Indian tribe, tribal organization, or any other Indian organization with respect to expenditures specifically permitted by other Federal law.

"Regularly employed" means, with respect to an officer or employee of a person requesting or receiving a Federal contract, an officer or employee who is employed by such person for at least 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person for receipt of such contract. An officer or employee who is employed by such person for less than 130 working days within one year immediately preceding the date of the submission that initiates agency consideration of such person shall be considered to be regularly employed as soon as he or she is employed by such person for 130 working days.

"State" means a State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, a territory or possession of the United States, an agency or instrumentality of a State, and a multi-State, regional, or interstate entity having governmental duties and powers.

#### (b) Prohibition.

(1) Section 1352 of title 31, U.S. Code provides in part that no appropriated funds may be expended by the recipient of a Federal contract, grant, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered federal actions: the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

#### (2) The prohibition does not apply as follows:

##### (i) Agency and legislative liaison by Own Employees.

(A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of a payment of a reasonable compensation made to an officer or employee or a person requesting or receiving a Federal contract if the payment is for agency and legislative liaison activities not directly related to a covered Federal action.

(B) For purposes of paragraph (A) of this section, providing any information specifically requested by an agency or Congress is allowable at any time.

(C) For purposes of paragraph (A) of this section, the following agency and legislative liaison activities are allowable at any time only where they are not related to a specific solicitation for any covered Federal action:

(i) Discussing with an agency (including individual demonstrations) the qualities and characteristics of the person's products, services, conditions or terms of sale, and service capabilities; and,

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### Continuation Of New Restrictions On Lobbying (3 of 6)

- (ii) Technical discussions and other activities regarding the application or adaptation of the person's products or services for an agency's use.
  - (D) For purposes of paragraph (A) of this section, the following agency and legislative liaison activities are allowable only where they are prior to formal solicitation of any covered Federal action:
    - (i) Providing any information not specifically requested but necessary for an agency to make an informed decision about initiation of a covered Federal action;
    - (ii) Technical discussions regarding the preparation of an unsolicited proposal prior to its official submission; and,
    - (iii) Capability presentations by persons seeking awards from an agency pursuant to the provisions of the Small Business Act, as amended by Public Law 95-507 and other subsequent amendments.
  - (E) Only those activities expressly authorized by paragraph
    - (i) of this section are allowable under paragraph (i).
    - (ii) Professional and technical services by Own Employees.
      - (A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of a payment of reasonable compensation made to an officer or employee of a person requesting or receiving a Federal contract or an extension, continuation, renewal, amendment, or modification of a Federal contract if payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal contract or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract.
      - (B) For purposes of paragraph (A) of this section, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal by a lawyer is allowable.
- Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communication with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services.

Continuation Of New Restrictions On Lobbying (4 of 6)

Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission or negotiation of a covered Federal action.

(C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.

(D) Only those services expressly authorized by paragraph (ii) of this section are allowable under paragraph (ii).

(iii) Reporting for Own Employees.

No reporting is required with respect to payments of reasonable compensation made to regularly employed officers or employees of a person.

(iv) Professional and technical services by Other than Own Employees.

(A) The prohibition on the use of appropriated funds, in paragraph (1) of this section, does not apply in the case of any reasonable payment to a person, other than an officer or employee of a person requesting or receiving a covered Federal action, if the payment is for professional or technical services rendered directly in the preparation, submission, or negotiation of any bid, proposal, or application for that Federal contract or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract.

(B) For purposes of paragraph (A) of this section, "professional and technical services" shall be limited to advice and analysis directly applying any professional or technical discipline. For example, drafting of a legal document accompanying a bid or proposal by a lawyer is allowable. Similarly, technical advice provided by an engineer on the performance or operational capability of a piece of equipment rendered directly in the negotiation of a contract is allowable. However, communication with the intent to influence made by a professional (such as a licensed lawyer) or a technical person (such as a licensed accountant) are not allowable under this section unless they provide advice and analysis directly applying their professional or technical expertise and unless the advice or analysis is rendered directly and solely in the preparation, submission or negotiation of a covered Federal action. Thus, for example, communications with the intent to influence made by a lawyer that do not provide legal advice or analysis directly and solely related to the legal aspects of his or her client's proposal, but generally advocate one proposal over another are not allowable under this section because the lawyer is not providing professional legal services. Similarly, communications with the intent to influence made by an engineer providing an engineering analysis prior to the preparation or submission of a bid or proposal are not allowable under this section since the engineer is providing technical services but not directly in the preparation, submission or negotiation of a covered Federal action.

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#### Continuation Of New Restrictions On Lobbying (5 of 6)

- (C) Requirements imposed by or pursuant to law as a condition for receiving a covered Federal award include those required by law or regulation, or reasonably expected to be required by law or regulation, and any other requirements in the actual award documents.
- (D) Persons other than officers or employees of a person requesting or receiving a covered Federal action include consultants and trade associations.
- (E) Only those services expressly authorized by paragraph (iv) of this section are allowable under paragraph (iv).

#### (c) Disclosure.

- (1) Each person who requests or receives from an agency a Federal contract shall file with that agency a certification that the person has not made, and will not make, any payment prohibited by paragraph (b) of this clause.
- (2) Each person who requests or receives from an agency a Federal contract shall file with that agency a disclosure form, Standard Form - LLL, "Disclosure of Lobbying Activities," if such person has made or has agreed to make any payment using nonappropriated funds (to include profits from any covered Federal action), which would be prohibited under paragraph (b) of this clause if paid for with appropriated funds.
- (3) Each person shall file a disclosure form at the end of each calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information contained in any disclosure form previously filed by such person under paragraph (2) of this section. An event that materially affects the accuracy of the information reported includes:
  - (i) A cumulative increase of \$25,000 or more in the amount paid or expected to be paid for influencing or attempting to influence a covered Federal action; or
  - (ii) A change in the person(s) or individual(s) influencing or attempting to influence a covered Federal action; or,
  - (iii) A change in the officer(s), employee(s), or Member(s) contacted to influence or attempt to influence a covered Federal action.
- (4) Any person who requests or receives from a person referred to in paragraph (1) of this section a subcontract exceeding \$100,000 at any tier under a Federal contract shall file a certification, and a disclosure form, if required, to the next tier above.
- (5) All disclosure forms, but not certifications, shall be forwarded from tier to tier until received by the person referred to in paragraph (1) of this section. That person shall forward all disclosure forms to the agency.

#### (d) Agreement.

In accepting any contract resulting from this solicitation, the person submitting the offer agrees not to make any payment prohibited by this clause.

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**Continuation Of New Restrictions On Lobbying (6 of 6)**

**(e) Penalties.**

- (1) Any person who makes an expenditure prohibited under paragraph (b) of this clause shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure.
- (2) Any person who fails to file or amend the disclosure form to be filed or amended if required by this clause, shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
- (3) Contractors may rely without liability on the representation made by their subcontractors in the certification and disclosure form.

**(f) Cost allowability.**

Nothing in this clause is to be interpreted to make allowable or reasonable any costs which would be unallowable or unreasonable in accordance with Part 31 of the Federal Acquisition Regulation. Conversely, costs made specifically unallowable by the requirements in this clause will not be made allowable under any of the provisions of Part 31 of the Federal Acquisition Regulation.

**(END OF CLAUSE)**

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## CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS PRIMARY COVERED TRANSACTIONS

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This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 22 CFR Part 513. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations may be obtained by contacting the U.S. Information Agency, Office of Contracts, Grants Division, 330 C Street, S.W., Room 1611, Washington, D.C., 20547; telephone (202) 205-5477.

### **BEFORE COMPLETING READ FORM TITLED INSTRUCTIONS FOR CERTIFICATION**

1. The prospective primary participant certifies to the best of its knowledge and belief that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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Organization Name

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Award Number or Project Name

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Name and Title of Authorized Representative

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Signature

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Date

## INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," (Form IA-1280) provided by the department or agency entering into this covered transaction, without modification, in all lower tier transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to check the Nonprocurement List.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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## **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

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This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 22 CFR Part 513. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations may be obtained by contacting the person to whom this proposal is submitted.

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
  2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
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Organization Name

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Award Number or Project Name

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Name and Title of Authorized Representative

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Signature

Date

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## ASSURANCE OF COMPLIANCE WITH U.S. INFORMATION AGENCY REGULATIONS

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Under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, and Title IX of the Education Amendment of 1972.

(hereafter called the "Applicant")

hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and, where applicable, Title IX of the Education Amendment of 1972 (20 U.S.C. 1681 et seq.) and all regulations of the U.S. Information Agency issued pursuant to these statutes. Title VI, Section 504, and Title IX prohibit discrimination on the basis of race, color, national origin, handicap, or sex in any program or activity receiving Agency support. The Applicant hereby gives assurance that it immediately will take any measures necessary to comply.

This assurance shall obligate the Applicant for the period during which the federal financial assistance is extended. There are two exceptions. If any personal property is acquired with U.S. Information Agency assistance, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of that property. If any real property or structure is improved with Agency support, this assurance shall obligate the Applicant or any transferee for as long as the property or structure is used.

This assurance is given in connection with any and all financial assistance from the U.S. Information Agency after the date this form is signed, including payments after that for financial assistance approved previously. The Applicant recognizes and agrees that any such financial assistance will be extended in reliance on the representations and agreements made in this assurance, and the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferee, and assignees, and on the authorized official whose signature appears below.

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Applicant

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Applicant's mailing address

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Telephone Number

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By (President, Chairman of the Board, or comparable authorized official)

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Dated

Proposal Submission Checklist for  
Request for Proposals (RFPs) and Limited/Sole Source Solicitations

*Technical Format Requirements*

1. Provide double-spaced, single-sided Executive Summary and Proposal Narrative;
2. Provide proposal budget per the guidelines in the RFP or solicitation letter and Proposal Submission Instructions (PSI);
3. Provide completed Assistance Award Proposal Cover Sheet, "Additional Applicant Organization Information" Form, and Certification of Compliance;
4. Number all pages, including budget and addenda;
5. Use 8 1/2" x 11" paper for the package.

*The original proposal and the required number of copies indicated in the solicitation document should be arranged in the following order:*

Table of Contents (List all attachments)

- |        |   |
|--------|---|
| TAB A  | Assistance Award Proposal Cover Sheet   |
| TAB B  | Executive Summary (One page)  |
| TAB C  | Narrative (Not to exceed twenty pages)<br>Calendar of activities/itinerary, if applicable   |
| TAB D  | Detailed Budget (Three column, line-item budget)  |
| TAB E  | Resumes and CVs (Project staff; not to exceed two pages each)<br>Letters of endorsement   |
| TAB F* | "Additional Applicant Organization Information" Form<br>Copy of IRS notification of current tax-exempt status, as<br>requested in "Additional Applicant Organization Information" form<br>Certification of Compliance<br>Other attachments, if applicable |

\*TAB F only needs to be included in the original and one (1) copy of the proposal; the remaining copies of the proposal do not need TAB F.

Please provide an extra copy of the Application for Federal Assistance Cover Sheet (TAB A) in an envelope marked "Attention: E/XE"

Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343

PCT/US 00/00382

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1997 GUIDELINES FOR PROPOSALS SUBMITTED TO THE  
UNITED STATES INFORMATION AGENCY  
OFFICE OF INTERNATIONAL VISITORS  
GROUP PROJECTS DIVISION

These guidelines apply to all requests for proposals issued by the Group Projects Division (E/VP) of the Office of International Visitors, United States Information Agency (USIA). Proposals should succinctly but completely address the elements described herein. All requested attachments must accompany the submission; incomplete submissions will not be reviewed.

APPLICATION PROCEDURES

To be eligible for consideration, organizations must: 1) be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) be able to demonstrate expertise in a field relevant to the theme of the project as well as a proven record of at least four years of successful work in international exchange, including responsible fiscal management and full compliance with all reporting requirements if the organization has received a prior Agency grant or award. Organizations with less than four years of experience in international exchange will not be eligible.

ADDRESSES: Qualified organizations wishing to bid for Office of International Visitors Multi-Regional Group Projects (MRP) should submit proposals by the deadline to the following address:

U.S. Information Agency  
Ref: E/VP-97-1  
Office of Grants Management, E/XE  
301 4th Street, S.W. Room 336  
Washington, D.C. 20547

INTRODUCTION

Under the International Visitor (IV) Program of the U.S. Information Agency (USIA), distinguished visitors from abroad come to this country for short-term visits to pursue professional programs and to develop a better understanding of the U.S. and its people.

Each year, USIA invites foreign leaders in such fields as government, economics, journalism and media, social processes, business, culture and the arts to the U.S. to participate in the International Visitor Program, generally for periods of up to 30 days.

Many International Visitors (visitor) participate in Multi-Regional Group Projects (MRP). These projects are administered by the Group Projects Division (E/VP) of USIA's

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Office of International Visitors, which coordinates project design, implementation and evaluation. E/VP ensures that the content, timing and funding of these projects are consonant with Agency guidelines. E/VP's outreach and review procedures encourage nonprofit institutions to submit competitive proposals to implement MRPs in response to Requests for Proposals (RFP) in the Federal Register. E/VP coordinates implementation with institutions selected to administer projects.

MRPs are conducted for English-speaking visitors from all countries and are on themes of global interest. MRPs are often large, typically ranging in size from 12 to 30 visitors.

#### SUMMARY STATEMENT OF WORK

The successful applicant for any MRP award must:

1. Design a pre-arranged national itinerary and program of activities in collaboration with USIA and the network of community affiliates of the National Council for International Visitors [NCIV], or other local sponsors, for a group of visitors to be selected by USIA.
2. Ensure that the group of visitors is offered a well-balanced, well-paced, and varied experience that will be significant to the visitors' professional careers while meeting USIA program objectives.
3. Prepare the Washington, D.C., program to include appropriate and relevant Washington-based resources, taking into consideration scheduling, pacing, city-wide transportation, and sequence of program activities while seeking to provide a professional and cultural balance to the program.
4. Provide the NCIV affiliate or other local sponsor in the communities chosen for the project itinerary with information concerning the program themes and objectives in each stop and seeing that the visitors have a varied set of cultural and social experiences representative of life in their communities.
5. Provide NCIV affiliates or other local sponsors with accurate and relevant information, including overall itinerary and logistical support required, as well as with information about the individual visitors [as provided by USIA] far enough in advance for careful planning, and keep them apprised of changes in plans or pertinent facts concerning the visitors.
6. Brief the team of English Language Escort officers (ELEOs), to be supplied by USIA, regarding the design of the program and the expectations of the program coordinators.
7. Assure that visitors, who will receive a per diem allowance from the USIA for payment of their hotel charges

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and other expenses, meet all their obligations with the funds provided them.

8. Maintain a standard of excellence in all aspects of the program arranged for guests of the U.S. government.

9. Carry out all administrative, logistical and reporting responsibilities as established by assistance award and relevant federal guidelines and circulars.

## MULTI-REGIONAL GROUP PROJECT DEVELOPMENT

**Planning:** USIA's annual planning process for all programs begins with the Agency's overseas posts (missions).

The above is true and correct: Road Coral Gabics, FL 33146 c/o 986 South University Avenue, Suite 100, Miami, Florida 33146-3606  
Each post writes an annual plan to describe the situation in its country and to request programming support for the upcoming year. The plans are organized by major themes such as:

paid amount with the Court's Registry within five (5) days (excluding legal holidays) by post,  
guided by post office regulations. The post office will forward the money to the Clerk of the  
Court as soon as possible. The date of delivery of the money to the Clerk of the Court will be  
February, 1997.

This does not include any missing or incomplete information. The developer may provide up-to-date information on the site's progress, including the location of MRP posts. Responsibility for maintaining visitors' posts rests with the developer.

overseas posts. A post IV Selection Committee decides which IV nominees will be selected to participate in the MRDP. The Group Project Division seeks to develop a varied and balanced program.

INCUDING PER DIEM ACCRAFAL EXPENSES  
relevant agenda of projects to attract a large percentage  
visitors to MRPs: In FY-1995 over 800 visitors participated  
in MRPs.

TOTAL, PER LEASE  
Process Service: ~~Individuals~~  
in MRP~~s~~s. Other visitors participated in the IV Program as individuals or participants in smaller group programs.

one-to-two-page Preliminary Project Summary or concept paper. The summaries specify project dates and define the goals of the project, the desired characteristics of visitors, and describe activities that may be included.

The equivalent amount is \$<sup>105</sup> 17/197-215/97  
GARBAGE DUE 2/197-2/15/97  
conveying the major themes to be covered. The summaries are included in any RFP announcement and are spelling out the minimum requirements for the Federal Register.

Sub-total Outstanding as of filing on Feb. 7, 1997 \$1270.70  
5% Late charge per late proposal for each announced MRP.

Program Agency/Applicant Selection: Some MRPs are assigned by USIA to national program agencies which are decided to reinstate the leave by accepting application.

Effective January 31, 1997 at 3:30AM the new MRPs will be assigned by NCIV. For FY-1997, twenty-one MRPs are open to competitive bidding.

ACCOOUNT, ON OR ABOUT THURSDAY, JANUARY 31, 1968.

**CHECK CLEARANCE TIME**. THE FUND'S DEPOSITORY  
AGENCIES WILL COMMENCE THE COMPETITIVE PROCESS  
ACADEMIC AND CULTURAL INSTITUTIONS, EXCHANGE OF PERSONS AND  
OTHER NOT-FOR-PROFIT ORGANIZATIONS THAT CAN DEMONSTRATE FOUR

other not-for-profit organizations that can demonstrate four years of experience in the international educational and cultural exchange field are eligible to apply for assistance.

cultural exchange field are eligible to apply for assistance awards to implement individual MRPs. Each project requires a separate submission. USIA expects the competitive process to

460 Hardee Road, Suite 100  
Concord, NC 28025-3402

Terry M. Hammes, M.B.A.  
<http://www.usia.gov/education/rfps/evpogi.htm>

<http://www.usia.gov/education/rfps/expgoi.htm>

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Proposal Preparation: The applicant's work begins with the design of a project proposal detailing the project's itinerary, which normally includes four or five visits to a variety of geographic regions and a combination of metropolitan and rural areas. The project's prospective sub-themes and appointments [REDACTED] are outlined at this stage. The applicant must arrange local programs through the community based affiliates of NCIV if there is an affiliate in the community to be visited. Applicants should utilize the resources of a broad selection of communities in the NCIV network. In New York City, program arrangements are to be made in conjunction with USIA Reception Center.

Applicants should contact local community sponsors to discuss the availability of program resources to carry out the theme planned for that city and to determine whether the projected dates for the program are acceptable. The applicant should not expect the local program officer to carry out extensive research on community resources on a given topic during the proposal-writing phase, however, since the proposal will be submitted to USIA as part of a competitive selection process.

To ensure that the full range of issues relating to the topic of the visitor's program is covered, applicants should provide communities with differentiated sub-themes to serve as the focus of programming in each community.

MRP groups are usually divided into subgroups for "team visits" to different cities or towns, enabling visitors sharing more specific interests to meet with Americans whose expertise may not be relevant to the entire group and to provide a more individualized experience.

Through the RFP, E/VP will provide the name of the E/VP Project Coordinator to prospective bidders who are encouraged to work closely with that individual in developing proposals. Project Coordinators can provide information about the types and numbers of nominations received, once it is available, which is useful and necessary for project proposal and budget development. All publications and program related data prepared by successful applicants must be cleared by the E/VP Project Coordinator.

Proposal Budget: Proposals must include a budget. Proposal budgets include funds to cover the applicant's cost for administering the project, as well as group project costs for the benefit of the visitors such as van or bus transportation, books or subscriptions, rental of conference rooms, and modest honoraria for speakers. Budgets must also include all visitor costs and per diem, travel and allowances for ELEOs.

Proposal Review: Once the MRP proposal is submitted to USIA, the applicant will be in competition with other applicants for selection as the organization responsible for

<http://www.usia.gov/education/rfps/evpogi.htm>

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the coordination and implementation of the project. Proposals are reviewed for both substantive content and budget by E/VP staff to screen for compliance with program guidelines and to identify budget issues or inconsistencies. Eligible proposals are then panned by an Advisory Committee, comprised of senior agency staff experienced in international exchanges, which evaluates proposals based on Committee provides guidance to the review criteria. The Advisory improve proposals. Proposals are then forwarded to USIA's Associate Director for Educational and Cultural Affairs for final decision. Following approval, project design conditions and/or modifications are worked out by the E/VP Project Coordinator with the winning institution. The E/VP Project Coordinator is the individual responsible for monitoring applicant compliance and implementation of the approved project.

**Project Implementation:** Award expenses may not be incurred prior to the effective date of the assistance award. A final signed agreement must be received from the USIA Contracting officer prior to incurring any expenses for project implementation. No pre-agreement costs will be paid by USIA. The USIA Project Coordinator will coordinate the project and serve as liaison with overseas posts who nominate participants. The USIA Project Coordinator will exercise final authority in approving project design, pace and itinerary. Program itineraries are to be finalized at least one month ahead of project opening in order to allow time to provide preliminary itineraries and program schedules to posts for visitors, and biographical data as well as the professional purpose and reason for the visit to local sponsors. A draft program booklet must be sent to the E/VP Project Coordinator at least ten days in advance of the Group's arrival.

**Openings/Closings** are considered an essential component of all International Visitor MRPs. Openings are at the beginning of a project when introductions are made, the objectives of the program are explained to the visitors in detail and administrative matters are conducted. Projects usually open in Washington, D.C. The USIA Project Coordinator will decide, in conjunction with the programming organization, if it is appropriate to open the project at USIA headquarters. The first week of a project generally includes an informal session to allow visitors to get to know each other better. Closings are at the end of the project when the project coordinators from both the successful applicant and USIA come together with the group to evaluate the project.

While time should not be wasted, neither should visitors be held in meetings and workshops all day, every day. Groups should have a varied and well-rounded visit to each community. Time should be reserved to allow visitors to meet and talk informally with Americans in a variety of settings, to visit museums, landmarks, visit schools to meet with teachers and students, or just to rest and reflect. USIA desires participation in MRPs to be a lively and stimulating

Applicants are responsible for insuring that programs are balanced, non-political, non-partisan, and representative of the diversity of American political, social, and cultural life. Balance and diversity should be manifest in terms of itinerary, geography and community-size; the range of opinions to which visitors are exposed; the professional backgrounds of those commenting on the issues; the ethnic, socio-economic and age diversity of the American people; and other factors which may be of particular relevance to the particular subject or particular visitor(s) for whom programming is being arranged.

**English Language Escort Officers:** ELEOs who accompany visitors are freelance professionals under contract with the Department of State's office of Language Services. The E/VP Project Coordinator, in cooperation with the State Department, selects ELEOs to accompany each group. The ELEOs come from all walks of life. Most accept assignments on a part-time or occasional basis, although some are assigned frequently throughout the year. Their duties are many and varied, but include facilitating contacts with Americans, smoothing the visitors' way once travel and program arrangements have been made, and helping to bridge cultural gaps. They are the principal link with the visitors during program travel. They are expected to serve as a buffer and mediator between the visitors and whatever difficulties may arise. ELEOs are always assigned to MRPs to help facilitate group logistics and dynamics. A formal description of ELEO functions can be found in the "Escort Interpreter Manual," which is available to applicants from E/VP on request.

**Review and Evaluation:** E/V Project Coordinators conduct a review and evaluation session with visitors at the conclusion of each MRP (provided travel funding is available). The coordinator's impressions and conclusions are shared with USIA posts. The applicant is expected to attend the final evaluation (provided travel funding is available). In addition, ELEOs prepare project reports and USIA posts prepare reports on visitor feedback when it becomes available. These reports will be shared with successful applicants at the Agency's discretion.

PROPOSAL BUDGET GUIDELINES FOR

<http://www.usia.gov/education/rfps/evpogi.htm>

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#### USIA INTERNATIONAL VISITOR MULTI-REGIONAL GROUP PROJECTS

All budget items should describe fully the purpose of the item. If the assistance awardee will share costs, the budget should identify what USIA pays for and what other funders pay for.

The budget essentially translates into cost items of all activities described in the narrative. For example, staffing needs described under the "program management" section of the proposal should be reflected in the budget under "salaries."

The guidelines for this section should be followed as closely as possible. The budget should reveal calculations used in arriving at estimated figures. Best estimates are important, because all changes in the budget subsequent to the applicant's approval will require USIA concurrence.

Proposal budgets should be divided into two parts:

1. Summary Budget -- Provide a brief summary of the items of expenditure for the USIA assistance award and contributions from other sources.
2. Line-Item Budget -- Each item of expense should be listed (with the funding source identified in separate columns if funding other than USIA is anticipated). Within each line-item, provide unit cost details. Divide the Line-Item Budget into Administrative, Group Project, and Program Costs sections. See the sample format attached. Use notes where further explanation of line items is required to clarify how you arrived at your figures.

The following guidelines should be used in developing budgets for MRP proposals:

1. NUMBER OF VISITORS: When preparing budgets, contact the E/VP Project Coordinator to determine the anticipated number of visitors and ELEOs.
2. SALARIES: Detailed staff requirements need to be part of the budget submission. For each position, list the proposed salary and the percentage of time to be charged to the project over what duration of time.
3. FRINGE BENEFITS: Benefit costs should be separated from salary costs. Include an explanation of the components (e.g., 5% health plan, 7% retirement, etc.). In some cases, organizations have a standard percentage which includes all fringe benefits, i.e. health insurance, retirement benefits (FICA or pension plan or both), life insurance, etc. If this is the case, the fringe benefit package should be documented.
4. STAFF TRAVEL: The applicant is expected to prepare and attend the opening session of the MRP. Round-trip travel, plus up to five (5) days per diem should be included in the

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staff travel budget line item under administrative cost if staff is not based in the city in which the project is to be opened. (Special allowance for this cost may be made for applicants not located in the Washington, DC area that propose to open projects in Washington, DC.) Travel for out-of-town evaluation at the conclusion of the MRP should be planned and included in the Group Project portion of the budget. Per diem rates for U.S. travel by applicants can be found at the USIA website: <http://www.usia.gov/> or to the Internet Gopher at <gopher://gopher.usia.gov>. Travel is to be implemented in conjunction with, and only after the approval of the Chief, E/VP.

The Uniform Travel Regulations (UTR) apply to all USIA assistance awards including provisions for city-pair contracts, Fly America rules, per diem or subsistence limits in the U.S. All domestic travel costs must be based on coach fare.

Under current policy, USIA withholds funds for domestic airfares for visitors and ELEOs and administers them on behalf of the assistance awardee. Award applicants must use Omega Travel Agency, USIA's contract Travel Management Center for visitor and ELEO ticketing. Applicant's travel arrangements can be made through omega or another travel agency and are paid from award funds by the applicant.

In the IV program, USIA pays all international travel. Therefore, budgets need not include international travel.

5. HONORARIA: Honoraria for people or institutions that will address or host visitors must be approved in advance and should be very limited. Applicants should state total honoraria proposed, include a justification, and show a breakdown in terms of proposed recipients and daily rates. USIA guidelines limit institutional honoraria to \$2,000 total. Individual honoraria may not exceed \$250 per day and generally are held below this.

6. GROUND TRANSPORTATION: Provide separate itemizations for any proposed van/bus rental in each city, inter-city train or bus fares, and airport transfers for each city. Since \$300 of the domestic transportation allowance budgeted under Part III Program Costs are considered to be for GROUND transportation, that amount must be deducted for each visitor and ELEO from the total anticipated cost of GROUND transportation to obtain a proposed group project cost in this category.

7. WORKING LUNCHEON/DINNER: A maximum of one Working luncheon/dinner, normally scheduled on the opening day of the project, may be authorized, unless extenuating circumstances exist which dictate additional hosted events, in which case advance approval must be obtained from E/VP. All applicant and USIA staff are to pay the first \$7.50 for their own participation in working luncheon/dinner.

8. OTHER DIRECT ADMINISTRATIVE EXPENSES: List items separately for all anticipated costs as telephone/cable,

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copying, printing, postage, office supplies, etc.

9. INDIRECT COSTS: Indirect costs are general operating costs that are allocated institution-wide. Government policy, as expressed in OMB Circular A-122, states, "The distribution base (for indirect costs) shall generally exclude visitor and ELEO support costs." These costs are defined as per diem, cultural allowance, international/domestic travel, and travel allowance as itemized in Part III of the proposal budget summary, as well as Part II Group Project Costs that directly benefit the visitor.

Indirect cost rates are either "provisional" or "negotiated". The applicant should specify which category applies. Provisional rates are subject to audit and can be changed if audit findings disprove the rate assigned. Negotiated rates are determined by the "cognizant" federal agency, and must be accepted by other federal agencies. The applicant must provide a copy of the letter from the cognizant federal agency which has authorized a negotiated rate.

The applicant may choose to cost-share indirect costs. The portion of these costs that is to be absorbed by the applicant should be clearly accounted for as an organization contribution in the budget.

10. VISITOR COSTS: An authorization document will be executed by USIA regarding the distribution of funds to visitors to cover the costs of per diem (fixed rate of \$140 per day), international return travel allowance (\$70), and the book and cultural allowance (\$150). Domestic transportation (\$1150) and ground transportation (\$300) costs will also be authorized. These funds (excepting domestic transportation) will be transferred to the applicant. Per diem funds are intended to cover the cost of lodging, meals, and incidentals for each visitor. USIA provides insurance coverage for visitors. It is unnecessary to include an item in the proposal budget for insurance.

11. ENGLISH LANGUAGE ESCORT OFFICER COSTS: Travel and per diem (at the same rates provided to visitors); book and cultural allowance (\$150); and travel costs from their home to the point of program origin and return home from point of program's conclusion (estimated at \$300) are authorized. ELEOs may receive an additional day or two of per diem to allow them to facilitate visitor arrival and departure. This will be specified by the E/VP Program Coordinator.

12. NOT ALLOWED: Items which may not be funded by an assistance award include: 1) contingencies or un-anticipated increases in expenses due to inflation, 2) miscellaneous, un-itemized costs, 3) contributions and donations to others, 4) equipment, 5) expenses incurred before or after the specified duration period of the assistance award.

13. APPROVALS: Any deviation from standard practices for programmatic or administrative procedure must be approved by

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E/VP. Expenditures beyond those specified in the assistance award must be approved by E/VP and USIA's office of Contracts before additional costs are incurred. Requests for exemptions or additional funding should be directed to the Chief of E/VP. They may or may not be granted.

14. OMB Circulars No. A-110 (revised) and No. A-122 will govern any cost incurred as a result of any award. OMB Circular A-133 defines audit requirements.

#### REPORTING REQUIREMENTS

The following reports are required:

##### A. Financial and Statistical

1) Financial report within thirty (30) days following each project for expenditures for which funds were authorized. These reports should be directed to USIA's office of Contracts, Grants Division (M/KG), with a copy sent to Chief, E/VP. In those instances where final expenditures are not known, an interim report showing an estimate of costs incurred should be used, to be followed by a final report.

2) Report listing honoraria paid to institutions and individuals. This report should be sent to E/VP within thirty (30) days following each project.

3) CIV Utilization Report showing affiliates of NCIV utilized in the project and how many visitors were sent to each affiliate.

##### B. Program Reports

1) A narrative activity report must be sent to E/VP within fourteen (14) days after the conclusion of each project. The report should include high and low points of the program, a summary of the evaluation session, and comments on fulfillment of project purposes.

2) Copies of all sponsor reports, letters and other materials received by the applicant are to be sent to the E/VP Group Project Coordinator.

#### WORK PLAN/TIME FRAME

Assistance awardee will be expected to meet the following deadlines:

Proposal, including budget, due to USIA-E/VP according to deadlines indicated in the RFP for each project.

6 weeks prior to project opening date: Applicants receive notice of outcome of competition. Cooperative agreement signed and forwarded by USIA Office of Contracts to

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successful applicant. Successful applicant receives visitor information from E/VP. Assistance awardee coordinates opening city appointments and collaborates with local sponsors in developing national appointments.

4 weeks prior to project opening date: E/VP enlists at least two contract ELEOs. ELEOs contact assistance awardee for project information. Assistance awardee provides visitor rooming list for Washington hotel as confirmed by E/VP.

10 days prior to project opening date: Assistance awardee forwards National Program Book draft to E/VP for review.

3 days prior to project opening date: Program book finalized, printed and distributed by assistance awardee to E/VP, ELEOs, and the visitors' arrival packets.

- Visitor Arrivals List completed by E/VP.  
- ELEOs meeting conducted in the opening city by E/VP and assistance awardee, bringing together E/VP and assistance awardee coordinators and the ELEOs, for in-person review of program itinerary, appointments, and international arrivals.

2 days prior to project opening date: Visitors arrive. ELEOs and local sponsors meet them at airports.

3 days following project opening date: Assistance awardee finalizes visitor return travel arrangements and calculates any increases or decreases in international ticket costs.

Between project opening and closing dates: Assistance awardee monitors project administration and coordinates local programming with CIVs.

1 day prior to project closing date: E/VP and assistance awardee coordinators join group in closing city to conduct evaluation on project closing date (provided travel funds are available).

1 day following project closing date: Visitors leave U.S. ELEOs assist airport departures.

2 weeks following closing date: Applicant's project evaluation report due to E/VP. E/VP conducts evaluation meeting with applicant coordinator.

30 days following end of grant: Financial report due.

QUESTIONS

If you have questions about the MRP process or about a specific MRP, contact staff listed in the RFP. General questions may be addressed to:

Mrs. Janet Beard, Acting Chief  
Group Projects Division (E/VP)

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301 4th Street, S.W. Room 255  
Washington, D.C. 20547  
Telephone: 202/205-3058  
Facsimile: 202/205-0792

All E/VP staff can be reached through these telephone and fax numbers.

#### FORMATS

The following formats for proposals and budgets should be used in preparing submissions.

#### MULTI-REGIONAL GROUP PROJECT PROPOSAL OUTLINE

##### 1. Title Page

Should provide project title, project type, and project dates, preferably on the letterhead of submitting organization. Also included should be name of E/VP Chief and E/VP Project Coordinator as well as that of the Director of the bidding organization and the organization's responsible program officer.

##### 2. Assistance Award Cover Sheet and Checklist

##### 3. Summary

In a few paragraphs, describe the project.

##### 4. Characteristics of the Visitors

Include the information provided by USIA in the RFP and the concept paper included in the Solicitation Package.

##### 5. Project Goals

Include the information provided by USIA in the RFP and the concept paper included in the Solicitation Package.

##### 6. Institutional Background

Outline the experiences and resources of your institution which will contribute to the effective planning and conduct of the project. Include appropriate information reflecting the subject expertise of the program team.

##### 7. Calendar

A schematic representation of the proposed project itinerary, or a calendar grid showing the timing of the various stops planned for the group.

##### 8. Project Elaboration

Provide a city-by-city description of proposed group activities which is as complete and accurate as possible. The theme and focus of each project segment should be clearly described. It is important that project meetings you propose be linked to the goals and objectives of the project. Applicants should provide representational examples of speakers, cooperating institutions and facilities to be visited. This narrative may not exceed 20 double-spaced typed pages in length.

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9. Project Budget

Use the following budget format, with three columns for each cost category, showing the amount requested from USIA, proposed cost sharing by the applicant, and total cost.

=====

MRP BUDGET SUMMARY

MRP TITLE:  
PROJECT DATES:  
NO. OF VISITORS:  
NO. OF ELEOs:  
PROGRAM OFFICER:  
APPLICANT:

DATE SUBMITTED:  
REVISION MADE:

	USIA	COST SHARING	TOTAL
I. ADMINISTRATIVE COSTS	\$	\$	\$
II. GROUP PROJECT COSTS	\$	\$	\$
III. PROGRAM COSTS	\$	\$	\$
IV. INDIRECT COSTS	\$	\$	\$
GRAND TOTAL	\$	\$	\$

=====

MRP PROJECT BUDGET

MRP TITLE:  
PROJECT DATES:  
NO. OF VISITORS:  
NO. OF ELEOs:  
PROGRAM OFFICER:  
APPLICANT:

PROPOSED ITINERARY:

USIA	COST SHARING	TOTAL
------	-----------------	-------

PART I ADMINISTRATIVE COSTS

1. Staff Costs  
Position No. 1  
(Identify position and pay rate)  
Position No. 2  
(Identify position and pay rate)  
Other Positions  
(Identify position and pay rate)  
Temporary Staff  
(Identify position and pay rate)

2. Fringe Benefits (and how calculated)

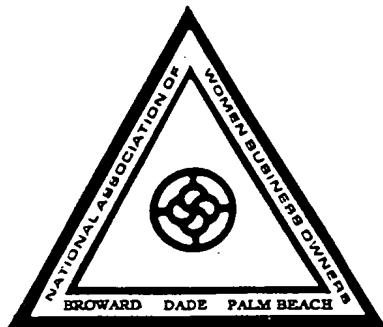
PCT/US 00/00382

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Data Exchange Network  
Patent Pending 60/115,343  
1183

U.S. Small Business Administration  
1320 South Dixie Highway, Suite 501  
Coral Gables, Florida 33146

OFFICIAL BUSINESS  
Penalty for Private Use \$500.00

**Small Business: America's  
Growth Industry**



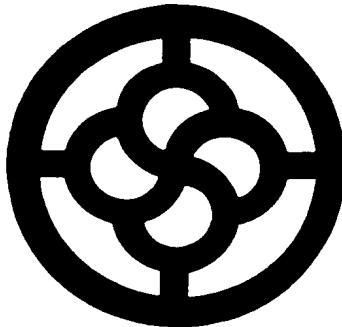
Tri-County Workshops and  
**TRADEMArt**

May 12, 1987  
and  
May 14, 1987

FIRST CLASS MAIL  
Postage & Fees Paid  
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The National Association of Women Business Owners (NAWBO) is the *only* national organization representing the interests of *all* women business owners.

Women currently are starting businesses at a rate three times faster than men and it is this market, with its special needs, that NAWBO primarily addresses. However, membership is open to any owner of a small business.

The organization has over 5,000 members nationwide, with over 300 members in the South Florida area. International affiliation is with the World Association of Women Business Owners (Les Femmes Chefs d'Enterprises Mondiales).

Working closely with government and private industry, NAWBO offers programs for owners of small and emerging growth businesses for increased prosperity and success.

Corporate partner memberships are also available.

## RESERVATIONS

### WORKSHOPS & TRADEMART

- |   |                             |                           |          |
|---|-----------------------------|---------------------------|----------|
| <input type="checkbox"/> Tuesday, May 12  | Miami (12:45 p.m.)          | \$40 per person . . . . . | \$ _____ |
| <input type="checkbox"/> Thursday, May 14 | West Palm Beach (1:30 p.m.) | \$40 per person . . . . . | \$ _____ |

### TRADEMART ONLY

- |  |                          |          |
|--|--------------------------|----------|
| <input type="checkbox"/> Miami (5:30 p.m.)           | \$5 per person . . . . . | \$ _____ |
| <input type="checkbox"/> West Palm Beach (5:00 p.m.) | \$5 per person . . . . . | \$ _____ |

### TRADEMART DISPLAY

- |  |                             |          |
|--|-----------------------------|----------|
| <input type="checkbox"/> Miami           | \$100 per exhibit . . . . . | \$ _____ |
| <input type="checkbox"/> West Palm Beach | \$100 per exhibit . . . . . | \$ _____ |
| <b>TOTAL . . . . . \$ _____</b>          |                             |          |

Company \_\_\_\_\_

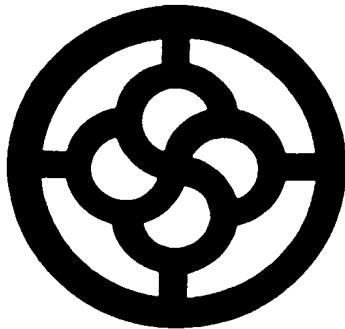
Name(s) \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Address \_\_\_\_\_

City, Zip \_\_\_\_\_

Phone \_\_\_\_\_

*Trademart only tickets may be purchased at the door, depending upon availability.*



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- TOTAL ..... \$ \_\_\_\_\_

Company \_\_\_\_\_

Name/s \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Address \_\_\_\_\_

City, Z: \_\_\_\_\_

Phone \_\_\_\_\_

*Trademart only tickets may be purchased at the door, depending upon availability.*

## PROGRAM

### MIAMI

**Tuesday, May 12**

- 12:45 p.m.** **Registration**
- 1:00 p.m.** **Marketing Workshop —**  
Advertising, Public Relations,  
and Effective Networking
- 2:30 p.m.** **Break**
- 3:30 p.m.** **Procurement Workshop —**  
Certification, Contacts,  
and Bidding Process
- 5:00 p.m.** **Keynote Speaker**  
Steve Massey  
Director, University of Miami  
*Entrepreneur and Innovation  
Institute*
- 5:30 p.m.** **Trademart**  
Complimentary hors d'oeuvres  
and cash bar

### WEST PALM BEACH

**Thursday, May 14**

- 1:30 p.m.** **Registration**
- 2:00 p.m.** **Open New Markets**  
Internationally. Learn how, who,  
where, and what.  
  
**CONCURRENT WORKSHOPS**  
Let Others Know What You Sell  
(Advertising). Find your market, the  
best media, do-it-yourself.
- 3:30 p.m.** **Mind Your Business.** Learn your  
strengths and weaknesses, local  
resources.  
  
**CONCURRENT WORKSHOPS**  
Do Business with Big Business  
— Special opportunities for small or  
minority-owned businesses, forms,  
whom to contact, how to bid.
- 5:00 p.m.** **Trademart**  
Complimentary hors d'oeuvres and  
cash bar

### CONTACT INFORMATION:

- Miami:**  
7005 S.W. 138th Street  
Miami, FL 33185  
(305) 382-4353
- Fort Lauderdale:**  
4420 N.E. 20th Avenue  
Ft. Lauderdale, FL 33308  
(305) 739-3000
- West Palm Beach:**  
P.O. Box 111  
Cross County Mall Station  
West Palm Beach, FL 33409-0111  
(305) 684-7314

### SPONSORS

- The Amaturo Group (JOY 107FM)  
 The Miami Herald  
 Florida Atlantic University Small Business  
 Development Center  
 National Association of Women Business  
 Owners  
 Palm Beach Junior College  
 United States Small Business Administration  
 Women's Business Ownership Program

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*In honor of the nation's more than 15 million owners of small businesses, I proclaim the week of May 10, 1987 to be Small Business Week, with the theme "Small Business: America's Growth Industry!"*

President Ronald Reagan

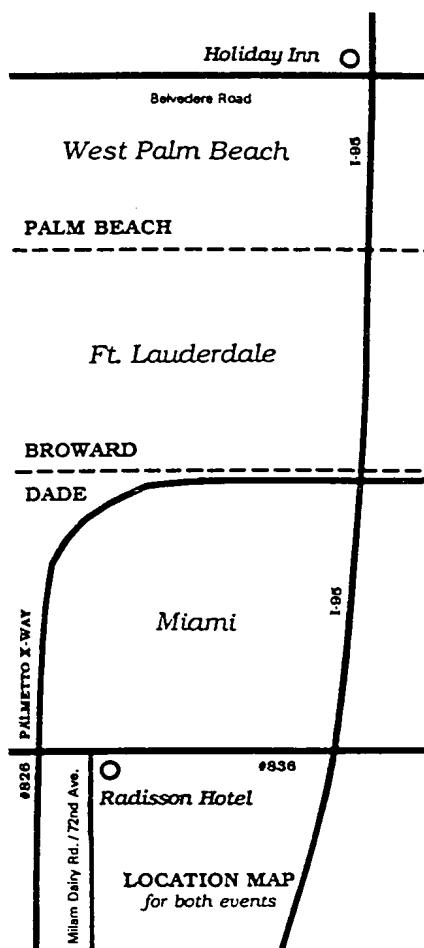
For the first time, Palm Beach, Broward and Dade Counties have joined together to give the entrepreneurs of South Florida the opportunity to participate in a community trademark marketing to your needs.

At two locations on two different days, in recognition and celebration of national Small Business Week, the National Association of Women Business Owners, the U.S. Small Business Administration WBO Program, the Small Business Development Center of Florida Atlantic University, and Palm Beach Junior College are presenting workshops designed specifically for the owners and decision makers of small and emerging growth companies.

Following the workshops will be a tabletop Trademart to showcase products and services.

The Trademart will be a casual, informal opportunity to establish new business relationships, to showcase products or services, and to solidify existing relationships.

Due to the popularity of previous workshops and limited seating, reservations should made promptly.





## HAMMES ADVERTISING, INC.

301 ALMERIA AVENUE, SUITE 18, CORAL GABLES, FLORIDA 33134, TELEPHONE (305) 448-0668

DATE \_\_\_\_\_

JOB NUMBER \_\_\_\_\_

JOB DESCRIPTION \_\_\_\_\_  
\_\_\_\_\_

PRODUCTION		
CREATIVE		
LAYOUT		
COPY		
MECHANICALS		
TYPOGRAPHY		
PHOTOSTATS		
ILLUSTRATION		
PHOTOGRAPHY		
RETOUCHING		
MISCELLANEOUS		
TOTAL		

PRINTING	
SIZE	
FOLDED (TRIM)	
COLOR	
SEPARATIONS	
HALF TONES	
PROOFS	
BINDING	
STOCK	
DELIVERY	
QUANTITY	
SUB TOTAL	
TAX	
TOTAL	

TERMS

CLIENT SIGNATURE

DATE

AUTHORIZED SIGNATURE

DATE



HAMMES ADVERTISING, INC.

896 SOUTH DIXIE HIGHWAY CORAL GABLES, FLORIDA 33146-2674, TELEPHONE (305) 667-1199, FAX (305) 667-0440

Thurs., 5:30 pm., Sept. 11, 1996

Need by 3pm Friday (Client has a Board presentation, of which this budget approval is necessary)

To: Dick Martin, Winstead Thermography/ Howard/Jon Levy, National Litho  
From: Terry Hammes, Hammes Advertising Inc.  
Ref.: Miami Council for International Visitors/QUOTE REQUEST

**Quantities:** 1M all, except blank second sheets, which are 500

**Scope:** LH, B/C, #10's, 12 x 9 brochure folded to 4 x 9, invitations

**Colors:** All two color PMS, tentatively PMS 206 and Gray or PMS 300 Blue or PMS Green

**Printing:** Laser Thermography on all except brochure

**Stock:** Classic Crest or Classic Laid 24# (Antique or Gray stock color to be determined)

- 1) **Letterhead:** 8.5 x 11" Logo w/ registration and screen top corner, logotype and address across top Board of Directors, Board member names and their companies down left side "Tag" line across bottom of page
- 2) **Business Card:** Same logo copy on face per standard layout with full bleed 30% screened halftone photo to be run as background - COMPOSITE BLUELINE PROOF required prior to approval.
- 3) **LH second sheets:** 500. Blank and please figure with just logo (by masking off existing plate and running just the logo in the one top left corner).
- 4) **10# Envelopes:** Logo, logotype and address in usual top left reading position, plus "Tag" line across bottom left.
- 5) **Brochure:** 2/2 -- 12" x 9" folded to 4x9" Two halftones FOLDED (one on each side, minimums). Must conform to direct mail micron requirements (8pt. or 10pt cover? to match color of stationary stock package to be determined). ALSO price w/ Black as 3/2.
- 6) **Invitations:** 2/1 -- Please price sets of 250 and 500 (set: Invites and envelopes w/ return address printing, can be same plate as #10, without the "tag" line at bottom -- but run on back flap) 4 x 6: Logo & logotype on front cover of invite, address on back cover of invite).
- 7) **Shells:** 2/1 -- Masthead, 8 x 11" top 2" to 3" one side only (for newsletter).

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PCT/US 00/00382

**AGENCY FOR  
INTERNATIONAL DEVELOPMENT**

**A GUIDE TO UNDERSTANDING**

**A.I.D.'S COMMODITY PROGRAMS**

**AND**

**A.I.D.'S ELIGIBILITY AND PRICE RULES**

**M/SER/COM/SE  
1984**

CHAPTER I

HOW A.I.D. FINANCES COMMODITIES

M/SER/COM has the responsibility of reviewing A.I.D.-financed payments to suppliers to determine whether the transactions comply with AID rules. This overview describes the two basic ways in which suppliers participate in the A.I.D. programs and receive payment from AID funds for commodities and commodity related services.

In some countries, AID provides loan or grant assistance in the form of Commodity Import Programs (CIP) which finance the procurement of a wide variety of basic commodities needed in the economy. Under a CIP, funds are allocated by the foreign government to its various ministries and to the private sector to provide the foreign exchange needed to purchase needed commodities. To participate in a CIP, suppliers submit bids or quotations in response to competitive public tenders or solicit orders from the private sector through normal commercial channels. These procurements, under CIP, are subject to the provisions of AID Regulation 1.

2.

In many countries AID provides project loans or grants to finance specific facilities and undertakings such as construction of irrigation facilities, expansion and equipping of rural health networks, malaria control programs, equipping small farmers with appropriate tools and machinery, etc. Commodities purchased as part of these undertakings are called project procurements. The transactions are subject to provisions of Handbook 11, Chapter 3.

Under both types of programs, AID does virtually no buying itself. The public sector of AID-recipient countries purchases directly from the U.S. private sector, usually through competitive bid procedures; their private sector procures directly from U.S. firms, usually through negotiated procurement procedures.

A. Commodity Import Programs

AID Regulation 1, "Rules and Procedures Applicable to Commodity Transactions," is the governing regulation for procurement under Commodity Import Programs.

Under a CIP, the government of a developing nation allocates the foreign exchange provided by AID loans/grants among its importers in the public and private sectors to finance the purchase through regular commercial trade channels of products and equipment which it needs. AID does not participate directly in these procurements, neither determining the specific items to be purchased nor selecting the suppliers. Transactions are directly between American suppliers and foreign importers. Therefore,

3.

selling commodities under AID-financed programs is essentially the same process as selling through normal commercial channels.

Price, quality, service, and delivery terms, as in any negotiations, are important factors in the eyes of the buyer. Just as in other commercial export sales, the supplier under AID financing completes responsibility to the buyer when compliance with the terms of sale is achieved.

AID loan and grant agreements with a foreign country specify the range of commodities which can be procured, the countries from which they may be purchased, AID marking and labeling requirements, price, commission, shipping instructions, and other applicable conditions.

Pertinent details of individual proposed procurements under formal competitive bid procedures - usually required when foreign country public sector agencies are the purchasers - are announced in the AID-financed Export Opportunities publication. Negotiated procurements by the public sector are announced in the AID Procurement Information Bulletin.

As pointed out previously, in Commodity Import Programs, foreign buyers represent both the public and private sectors. The public sector buyers are generally foreign ministries that purchase for public use and not for profit or resale. The private sector buyers are either merchants, dealers, or distributors who pur-

4.

chase commodities for resale at a price which, they hope, will permit a reasonable profit. Private sector buyers may also be end-users importing for their own use, such as in manufacturing, assembling, etc.

B. Project Requirements

AID Handbook 11, Chapter 3, contains the regulations governing project procurements by the recipient country. Project procurements are purchases of equipment and materials for specific project undertakings financed by AID through loans or grants. An example might include construction of public facilities which require equipment.

Unlike the CIP, there is seldom any foreign country private sector involvement in project procurements. Dealings are usually with the foreign government and its ministries.

The audit function does not routinely cover payments unrelated to commodity procurement (e.g., consulting, research, architect-engineering and construction).

C. The Eligibility Rules

The AID-financed transaction is subject to certain eligibility rules governing commodities, country sources, and cargo carriers.

5.

1. Source of Commodities

AID's policy limits the countries from which commodities may be purchased. Many AID agreements require that commodities be purchased from the United States; other AID agreements allow purchases from the United States and from selected Free World countries (excluding the developed countries).

To meet AID's source requirements, a commodity must be shipped from an eligible country; must be mined, grown or produced in an eligible country; and may not include components from non-Free World countries. Components from Free World countries are eligible within specific limits, usually up to 50% of the lowest price at which the supplier makes the commodity available for export sale.

2. Commodity Eligibility

AID's commodity eligibility policies are keyed to two basic objectives: (1) that the commodities AID finances make a positive contribution to development; and (2) that AID procurement programs are carried out in full accord with relevant policies and laws.

To promote these objectives, commodities are ineligible for AID financing if they are:

6.

- a. Unsafe or ineffective products, such as certain pesticides or pharmaceuticals.
- b. Luxury goods, such as recreational supplies and equipment, alcoholic beverages and equipment for their production and use, equipment or supplies for gambling facilities, jewelry, stamps, coins, furs, and the more expensive luxury textiles. Subject to prior approval, AID may permit the financing of an item normally regarded as a luxury item if required to attain the objective of a development activity or which is clearly justified by the intended end use of the item.
- c. Surplus or used items, unless inspected and approved in accordance with procedures approved by AID.
- d. Items for military use.
- e. Surveillance equipment, of micro-miniature design for audio surveillance activities.
- f. Weather modification equipment.
- g. Commodities and equipment for the purpose of inducing abortions as a method of family planning.

7.

h. Commodities for support of police and other law enforcement activities.

3. Cargo Carriers' Eligibility

AID requires each country granted or loaned funds to ensure that at least 50% of the gross tonnage of all commodities financed with the agreement's funds and transported to the cooperating country on ocean vessels be shipped on privately owned U.S. flag commercial vessels, if available.

Additionally, all agreements provide that the funds may be used to finance transportation costs for shipping the AID-financed commodities on U.S. flag vessels or aircraft, and in some instances on certain designated foreign flag vessels or aircraft.

Buyers advise prospective suppliers as to what shipping must be used for a particular transaction when they solicit offers, and the authorized eligible shipping is included in the successful supplier's letter of credit or letter of commitment.

D. Commodity Price Limitations

AID Regulation I governing Commodity Import Programs, and Handbook II, Chapter 3 governing Project Procurements specify con-

ditions governing the eligibility of procurement transactions, including certain price requirements, and state the responsibilities of suppliers under an AID-financed transaction. The basic price requirement is that the price may not exceed the prevailing export market price.

Subject to the limitation that the price financed by AID cannot exceed the price permitted under AID Regulation 1 or Handbook 11, Chapter 3, AID will generally finance the following to the extent they are included in the purchase agreement:

1. Delivery Services including transportation. Export prices also normally include charges for related services such as forwarder's fees, export packing, freight to the port of export, or special markings required by AID.
2. Incidental Services. AID reimbursement is generally available for incidental services such as dollar costs for installation or erection of equipment, or training personnel to operate and maintain it.
3. Sales Commissions. AID generally allows suppliers to include in their price sales commissions to sales agents of the supplier.
4. Marine Insurance. AID finances the dollar costs of insurance premiums, including war risk, if placed with an

9.

insurance company which is authorized to do business in an eligible country.

5. Inspection Services. When a buyer requires inspection services, either in accordance with the customary practices or because they are necessary to assure compliance with the purchase contract, the cost is eligible for AID financing along with the cost of the commodity.

It is also important to be familiar with charges that are not eligible for AID financing. These are detailed in AID Regulation 1 and Handbook 11, Chapter 3. Some of the ineligible charges are:

1. Services which are not related to the commodity transaction;
2. Commissions to an importer or importer's agent;
3. Unless specifically authorized, inland transportation within the cooperating country or beyond the point of entry in a land-locked country;
4. Dead freight and demurrage; and
5. Commissions to a third party in connection with a sale by a company to its dealer, distributor or agent.

10.

In addition, trade discounts, credits and allowances to which the importer is entitled must be deducted from the amount requested from AID under either a letter of credit or commitment. Any amount by which prices exceed the price rules established in AID Regulation 1 or the Supplier's Certificate is not eligible for AID financing.

E. Types of Sales

AID-financed procurements result from sales involving formal bidding procedures or from negotiations between the seller and the foreign buyer.

Formal bidding is used primarily for procurements by foreign government ministries. AID requires that technical specifications be in English, in sufficient detail, and in U.S. standards.

The fixed price negotiated sales contract is the usual arrangement in AID-financed procurements by private sector importers. Similar to the situation faced by suppliers in privately financed business, such terms as price, quality, service and delivery dates are important factors.

Bids or quotations are normally submitted directly to the purchaser, as instructed in the Invitation for Bids or Request for Quotations.

11.

Awards are made by the foreign buyer to the lowest responsive bidder. Notices of awards for completed transactions appear in the "AID Procurement Information Bulletin."

F. Procedures for Payment

Suppliers submit the same basic documents for payment as under normal commercial letter of credit financing. The supplier will be informed in the letter of credit of the documents required for each transaction. In addition to the normal commercial documents, others required may include:

1. Form AID 252 - "Supplier's Certificate and Agreement with the Agency for International Development." This document contains a general description of the AID-financed commodities, incidental and delivery services, and summarizes their price and payment information. By signing the certificate the supplier (whether of the commodity, transportation services or marine insurance) certifies to the correctness of the information supplied and to compliance with any AID requirement applicable to the transaction. This form is required for CIP transactions.

12.

2. Form AID 1450.4 - "Supplier's Certificate and Agreement with the Agency for International Development for Project Commodities." The description of this document and purposes of this document are the same as Form AID 282, described above. This form is required for project commodity procurements.

3. Form AID 11 - "Application for Approval of Commodity Eligibility."

Payment is ordinarily made under Letters of Credit confirmed by U.S. commercial banks. These Letters of Credit will require evidence of compliance with all stipulated conditions to effect the payment. A.I.D. also provides payment in large public sector transactions under direct letters of commitment issued by AID/W or USAID Controller to the supplier. Payment of procurement service agent fees established under host country contracts are made under direct letters of commitment issued by the USAID Controller to the Agent. Payment to vendors supplying such agents are made under A.I.D./W issued bank letters of Commitment.

AID requires that suppliers retain complete records of each transaction for three years. The Supplier's Certificate informs suppliers that the transactions may be examined under a post-audit procedure and that suppliers may be called upon to provide additional or supporting information.

## CHAPTER II

### ELIGIBILITY OF COMMODITIES AND TRANSACTIONS

To qualify for A.I.D. -financing, a transaction must satisfy certain statutory, regulatory and policy requirements. The following summarizes the important A.I.D. eligibility rules and considerations.

#### A. Commodities Appropriate for A.I.D.-Financing

It is AID policy to finance only those commodities which it has determined are "eligible" in terms of general and specific program objectives. AID wants to assure that the commodities it finances make a positive contribution to development, so it has established broad limitations on the categories of commodities that are eligible for financing. Thus, as noted above, there are restrictions on the financing of luxury goods, unsafe or ineffective products, used equipment, etc. AID uses the U.S. Department of Commerce Schedule B numbers (seven-digit codes used for reporting exports from the United States) as a means of classifying commodities in order to define commodity eligibility and applicability of special provisions and to record commodity transactions. A specific Schedule B number and commodity description must be stated in CIP documents submitted to AID for payment.

14.

The AID Commodity Eligibility Listing uses Schedule B numbers to indicate the eligibility or ineligibility of commodities for AID financing. In Part I of the Listing, groups of Schedule B numbers, with short commodity descriptions, are designated as eligible or ineligible, Part II provides guidance on the additional considerations and conditions applicable to certain commodities. Part III specifies certificates that are required to support eligibility for some commodities and gives detailed technical definitions of eligibility standards for some commodities. This Listing is incorporated in assistance agreements as appropriate.

Certain commodities are restricted or ineligible because of statutory and administrative determinations. Restricted commodities and those ineligible commodities for which waivers may be granted require special consideration before AID financing will be authorized. These commodities are discussed in Chapter 2 of Handbook 15 and Chapter 4 of Handbook 1B.

B. Determination of Eligibility

Under project assistance the selection of commodities to be authorized for financing is made during the project's formulation. Commodities which are normally ineligible may be authorized for financing if included by AID in the project approval document. Such commodities are listed in the

15.

project agreement or implementing document together with any special instructions or provisions that may be required under AID commodity eligibility policies. Subsequently, a normally ineligible commodity may be made eligible by a determination of the Geographic Bureau that such a commodity is required for the completion of the project. Such determinations are filed with the loan or grant agreements, with copies to M/SER/COM.

Commodity Import Program Agreements normally authorize AID financing of the complete range of commodities identified as being eligible in the AID Commodity Eligibility Listing. At times, however, commodity eligibility may be limited to certain selected commodity categories specified in the agreement or implementing documents. Congress requires that prior to payment, AID must determine that commodities are eligible and suitable. To enable AID to make such a determination, the supplier of a proposed AID-financed CIP transaction submits an Application for Approval of Commodity Eligibility, Form AID 11, to AID/W, the Office of Commodity Management (SER/COM/CPS). This is usually done after the supplier has received a letter of credit or direct Letter of Commitment, but before shipment of the commodity. If the supplier does not have a letter of credit, it must present other evidence that it has a firm contract to furnish the commodity for which it seeks AID approval. The Form AID 11 provides space for the commodity description, including Schedule B seven-digit cost, commodity condition, source, componentry, and

16.

other data pertinent to the review of the Application and required for certain statistical purposes. A Form AID 11 will be approved if the commodity is eligible under the implementing document and if the commodity meets the eligibility criteria established in the AID Commodity Eligibility Listing. Although the Form 11 includes an expiration date, the analyst need not be concerned with this administrative requirement in carrying out the audit and, accordingly, an "expired" Form 11 would not be the basis for finding a transaction ineligible. There is no requirement that the Form be approved prior to shipment though normally it would be.

Commodities financed by AID which are procured by Procurement Service Agents are subject to the same eligibility considerations which would apply if an agent were not involved. The commodity supplier or vendor must provide the appropriate Supplier's Certificate and the audit is based on his undertakings in the certificate.

C. Source and Origin

Eligibility requirements for commodities and most commodity-related services are controlled by means of the Geographic Code designated in each loan or grant agreement, contract, or other obligating document. The Geographic Code controlling each procurement of goods and services is normally repeated in contracts, letters of commitment, and letters of credit.

17.

All commodities financed by AID must meet the following tests as to source/origin and componentry:

(1) "Source" means the country from which a commodity is shipped to the cooperating country (or the cooperating country itself if the commodity is located there when it is purchased). To be eligible for AID financing, a commodity must be of a source designated as eligible in the loan or grant agreement and implementing documents, and it must also have been mined, grown, and (through manufacturing, processing, or assembly) been produced in an eligible source country. A commodity is "produced" when, through manufacturing, processing or substantial and major assembling of components, a commercial recognized new commodity results that is substantially different from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute "production" of a commodity.

The part of the eligibility requirement concerning production of the commodity is often referred to as the "origin" requirement, but it should be noted that the origin requirement is included as part of the source requirement.

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18.

(2) "Components" are the goods that go directly into the production of a manufactured commodity. AID componentry rules for manufactured commodities are as follows:

(a) Any component from a non-Free World country makes the commodity ineligible for AID financing.

(b) If the commodity contains components from countries included in Geographic Code 935 (Special Free World) which are not included in the authorized geographic code for the procurement, the components are limited according to the following rules:

(i) They are limited only if they are acquired by the producer of the commodity in the form in which they were imported.

(ii) The total cost of such components to the producer of the commodity (delivered at the point of production of the commodity) may not exceed 50 percent of the lowest price (excluding the cost of ocean transportation and marine insurance) at which the supplier makes the commodity available for any export sale.

19.

(iii) For the purpose of calculating eligible components, the cooperating country will be deemed to be an authorized source country whenever any geographic code other than Code 000 is authorized.

(c) AID may prescribe percentages other than 50 percent for specific commodities. Current modifications of the componentry limitations are contained in Appendix G1 of Handbook 15. The percentage of allowable foreign components may be decreased for a specific procurement by the USAID or AID/W at the request of the cooperating country. In addition, the Director of the Office of Commodity Management is authorized to modify the componentry limitations when:

(i) it is necessary to conform with established industry production practices; or

(ii) the transaction conforms to the intent of the componentry rules (i.e., the benefit of the source and origin rules accrues to authorized source countries), and it is in the best interests of the program or project to finance the transaction.

20.

(d) Other waivers of componentry limitations are handled as source waivers under the normal procedures.

(3) The componentry rules are generally applied to each item that is sold as an independent unit or commodity. There are some special situations in which componentry rules may be applied on a different basis.

(a) When a package installation is procured as a single entity, AID may authorize the componentry rules to be applied to the installation as a whole.

(b) When the product being purchased is a kit (i.e., items such as scientific instruments, certain automotive spare parts, tools, or medical supplies packages as a single unit), the kit will be considered that produced commodity and the items included in the kit will be components. If AID decides for any reason to treat the items in a kit as separate commodities, the solicitation document so states.

(c) For spare parts, whether they are shipped with the equipment to which they are applicable or separately, the componentry rules are applied to each separate shipment of parts as a whole, not to each individual spare or replacement part.

21.

AID's nationality policy, implemented in Section 201.11(j)(3) of Regulation 1 and Chapter 3 of Handbook 11, requires that the supplier of an AID-financed commodity must fit one of the following:

- (1) An individual who is a citizen or resident of an authorized source country;
- (2) A corporation or partnership organized under the laws of an authorized source country;
- (3) A controlled foreign corporation, i.e., any foreign corporation a majority of whose total voting stock is owned by the United States shareholders, within the meaning of Section 957 seq. of the Internal Revenue Code; or
- (4) A joint venture or unincorporated association consisting entirely of individuals, corporations, or partnerships which fit any of the foregoing categories.

This policy applies to suppliers of commodities, whether or not commodity-related services are included. However, it does not apply to suppliers of commodities that are procured through U.S. Government agencies.

Suppliers who furnish commodities in connection with services which are not commodity-related are subject to the nationality requirement

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for suppliers of services which are set forth in Chapter 5 of Handbook 1B.

D. Delivery Services

"Delivery services" means any service customarily performed in a commercial export transaction which is necessary to effect a physical transfer of commodities to the cooperating country. Examples of such services are export packing, local drayage in the source country (including waiting time at the dock), ocean and other freight, loading, heavy lift, wharfage, tollage, switching, dumping and trimming, lighterage, insurance, commodity inspection services, and services of a freight forwarder. "Delivery services" may also include work and materials necessary to meet AID marking requirements.

Essential delivery services as defined above may be financed under the implementing document which authorizes the purchase of the commodities. Alternatively, they may be financed under a separate implementing document. The loan or grant agreement will specify the authorized sources for procurement of delivery services. Generally, the authorized source will be the same for procurement of commodities and delivery services. However, when Code 941 is authorized for procurement of commodities, the financing of transportation services may be restricted, as specified in the implementing document.

23.

Section 201.67 of AID Regulation 1 establishes maximum prices for freight charges, including charter shipments, liner shipments and air shipments. Section 201.68 establishes maximum prices for commodity-related services other than freight charges. The purchase price for these services, which include other delivery services, may not exceed the prevailing price or the price paid the supplier under similar circumstances by other customers. For project procurement, maximum prices for these services must be "reasonable". In addition they must not exceed the standards set forth in the applicable Supplier's Certificate.

AID will normally authorize financing of transportation costs under the following rules:

1. When the authorized source for procurement is Code 000 (United States) AID will finance ocean transportation only on U.S. flag vessels.
2. When the authorized source for procurement is Code 941 (Selected Free World), AID will finance ocean transportation on vessels under flag registry of the United States, other countries in Code 941, and the cooperating country.
3. When commodities whose eligibility is restricted to U.S. source are purchased under agreements which would normally authorize Code 941 procurement of commodities,

24.

AID will finance the ocean transportation in accordance with 2 above.

4. When shipment is made under a through bill of lading issued by an eligible flag carrier AID will finance costs incurred on vessels under flag registry of any Free World country if the costs are part of the total cost paid to the eligible flag carrier.

5. When necessary to assure adequate competition and competitive pricing for shipment of bulk commodities, AID will authorize financing of ocean transportation on vessels under flag registry of countries included in Code 941 and the cooperating country or on vessels under flag registry of countries included in Code 935 (Special Free World). If AID financing of transportation would normally have been limited to U.S. flag vessels, such expanded authorization would allow the financing of ocean transportation on Code 941 or Code 935 vessels, other than U.S. flag vessels, only to the extent that U.S. flag vessels are not available to carry the commodities for which transportation is solicited. The Office of Commodity Management determines when it is necessary to authorize financing in accordance with this rule.

If timely transportation is not available on a vessel under flag registry of a country eligible to provide AID-financed transporta-

25.

tion services by the terms of a loan or grant, application may be made to AID to waive the source limitations to permit AID financing. AID would not waive retroactively the source limitation after payment has been made for the shipment on an ineligible flag.

AID will normally authorize financing of air transportation costs under the following rules:

1. Grant-financed Transactions. A U.S. Government statute requires the use of U.S. flag international air carriers for all AID grant-financed international air transportation unless such service is not available. When U.S. flag international air carriers are not available, any Code 935 (Special Free World) flag air carriers may be used.
2. Loan-financed Transactions. There is no statutory requirement for use of U.S. flag air carriers under loan-financed transactions. AID's policy on financing air transportation when the authorized source for procurement of commodities under the loan is Code 000 is the same as for grant-financed transactions. When the authorized source for procurement of commodities under a loan is Code 941, AID policy requires use of U.S. flag international air carriers, cooperating country flag air carriers, and Code 941 flag air carriers for international air transportation to the extent they are available. When eligible flag air carriers are unavailable, any Code 935 (Special Free World) flag air carriers may be used.

Suppliers, contractors, or other shippers who claim payment for use of an air carrier which is not under flag registry of an eligible source country must certify in writing with the claim for payment that eligible flag air carriers were not available in accordance with such criteria. No AID-approved waiver is required.

AID also has the following general rules which apply:

- (a) Transshipment. When shipment is made under a through Bill of Lading issued by an eligible flag carrier, AID will finance costs incurred on carriers under flag registry of any free world country if the costs are part of the total cost paid to the eligible flag carrier.
- (b) Charters. Any ocean or air carrier for shipment of AID-financed commodities covering full or part cargo (whether for a single voyage, consecutive voyages, or a time period) must be approved by AID prior to shipment.
- (c) Inland transportation. It is AID's policy not to finance shipment beyond the point of entry in the cooperating country except when intermodal transportation service covering the carriage of cargo from point of origin to destination is used and the point of destination, as stated in the carrier's through bill of lading, is established in the carrier's tariff.

27.

(d) Dead freight and demurrage are not normally financed by AID.

As a further general rule, the entire value of transactions that are otherwise eligible may be made ineligible for financing because of the carrier on which they are shipped or because of conflicts with AID's marine insurance policy. This would normally apply under the following circumstances:

1. Commodities are ineligible if shipped on a transportation medium owned, operated, or under the control of any country not included in Code 935.
2. Commodities are ineligible if shipped on a vessel which AID has specifically designated as ineligible.
3. Commodities are ineligible if shipped under an ocean or air charter that has not received prior approval by AID.

#### E. Shipments from Bonded Warehouses or Free Ports

Special tests of eligibility apply to these transactions. "Free ports" are ports within ports in which vessels can load or unload and where commercial or manufacturing activities may be carried on without payment of import or export duties. For the purposes of this section, free trade zones and foreign trade zones are considered free ports. "Bonded warehouses" are storage or production areas under the supervision of local customs authorities.

28.

Goods shipped to a bonded warehouse are not subject to the payment of duty unless brought into the economy of the country in which the bonded warehouse is located.

AID may finance otherwise eligible commodities which merely pass through bonded warehouses or free ports, provided that the country from which the commodity was shipped to the free port or bonded warehouse is an eligible source country. When a commodity is merely packaged or subjected to minor assembly operations in a free port or bonded warehouse, it retains its original source as above. When a transformation in the commodity occurs, however, the commodity is considered to have been produced in the country in which the free port or bonded warehouse is located.

AID may finance an otherwise eligible commodity that is produced in a bonded warehouse or free port only if the warehouse or free port is located in an authorized country. For instance, when Code 941 is an authorized source, Australian yarn in raw form which is thrown and textured in a bonded warehouse in Indonesia would be eligible for AID financing if the delivered cost of the raw yarn was less than 50% of the sales price of the financed yarn. If the operation is performed in a bonded warehouse in Belgium, the processed yarn is considered to be a Belgian source and would be ineligible for AID financing, regardless of the country from which the raw yarn was imported. A determination of what degree of assembly, manufacture, or processing does or does not constitute production is not always readily apparent, and consultation with SER/COM/SE for guidance would be necessary.

Special price rules for shipments from free ports or bonded warehouses are set forth in AID Regulation 1. For the purpose of determining eligible prices, sales out of free ports or bonded warehouses are compared to similar sales and are not to be considered different with respect to period of delivery, supply area, or terms of sale merely because they are made out of free ports or bonded warehouses. No commodity shipped out of a free port or bonded warehouse is eligible for AID financing if the commodity was shipped to or from the free port or bonded warehouse by a carrier owned, operated, or under the control of any country not included in AID Geographic Code 935 or on a vessel which AID has designated ineligible.

#### F. Marine Insurance

AID may finance U.S. dollar premiums for marine insurance, including war risk, on AID-financed commodities in transit, subject to the following requirements as well as any special provisions that may be contained in the underlying agreement or relevant implementation document. The following rules apply:

1. The commodity to be insured must be eligible for AID financing.

2. The insurance must be placed either in accordance with the terms of the commodity purchase contract or by, or on the written instruction of, the importer.

30.

3. The insurance must be placed in a country included in the geographic code authorized in the implementing document, provided that if the authorized geographic code is any other than AID Geographic Code 000, the cooperating country itself shall be recognized as an eligible source.
4. AID will not finance marine insurance placed in an otherwise eligible source country which discriminates against U.S. marine insurers when AID-financed cargo is involved.
5. Insurance coverage must relate only to the period during which the commodities are in transit to the cooperating country, except that it may include coverage under a so-called "warehouse-to-warehouse" clause.
6. The insurance must be placed on a competitive basis. Insurance is considered to have been placed on a competitive basis if the purchaser has taken due care and diligence to canvass the insurance market to obtain the desired coverage at the best rate offered. This can be presumed to have been accomplished in most instances if insurance has been placed through a broker who represents several insurers and is, therefore, in a position to know the trends of the market and, thus, able to place the insurance where the best terms prevail. In some cases, solicitation of additional brokers may secure more advantageous rates, but such solicitation

31.

is not mandatory. The statutory reference to "placed on a competitive basis in accordance with normal trade practice prior to World War II" is not interpreted as requiring more than what is described.

7. The rate financed by AID may not exceed the prevailing rate for the same or similar insurance service, or the rate paid to the insurer under similar circumstances by other customers.

8. The insurance must provide that loss payment proceeds will be paid in U.S. dollars or other freely convertible currency.

9. For nonproject assistance, the importer decides whether to secure marine insurance and whether to seek AID financing of such insurance; however, in some cases, AID may require that cargoes be insured. Cooperating countries must inform private importers under commodity import programs that AID funds may be used to finance marine insurance on AID-financed commodity imports.

When AID finds that a cooperating country discriminates against any marine insurance company authorized to do business in any state of the United States and that cooperating country, contrary to AID policy, fails to insure all AID-financed commodities with U.S. insurance companies, then those commodities are ineligible for AID financing.

32.

G. Incidental Services

Incidental services are those services related to the installation or erection of AID-financed equipment, or the training of personnel in the operation and use of such equipment. Incidental services are eligible for AID-financing as commodity-related services when:

(1) such services are specified in the purchase contract relating to the equipment; and

(2) the price does not exceed the prevailing export price, if any, for the same or similar services or the price paid to the supplier under similar circumstances by other customers; and

(3) the portion of the total purchase contract price attributable to such services does not exceed \$50,000 or 25 percent of the total purchase contract, whichever is less. (Note, however, that AID has established higher limits for the Egypt CIP Program.)

The cost of incidental services in excess of \$50,000 or 25 percent of total purchase contract, whichever is less, is not considered a cost of commodity related services for the purpose of determining

eligibility for AID financing. Such incidental services are subject to review and determination of eligibility under the rules established for borrower/grantee procurement of services.

AID's source and nationality requirements do not apply to suppliers of incidental services, except that such suppliers must be citizens or legal residents of Code 935 countries.

#### H. Inspection

AID will finance inspection of AID-financed commodities if such inspection is specified in the purchase contract, performed by independent inspectors at the request of the importer and is either customary in export transactions for the commodity involved or is necessary to determine conformity of the commodity to the contract.

#### I. Commodity Prices

The price rules are discussed in detail in Chapters IV and V, below. The following summarizes the applicable tests and the documents which implement the tests.

##### A. Under AID Regulation 1 and Form 282:

- (1) Sections 201.63(a) and 201.63(b) implement the provisions of Sections 604(a) and 604(b) of the FAA.

34.

(2) Section 201.63(c) states that the purchase price shall not exceed prices generally charged by the supplier in comparable export sales.

(3) Section 201.63(d) states that purchase price for a non-U.S. source commodity may not exceed the prevailing export market price in comparable export sales in the source country at the time of purchase.

(4) Section 201.63(e) is a price test applied only in the absence of comparable sales and is based upon a supplier's cost plus customary pricing practices.

(5) Sections 201.63(f) and 201.63(g) establish additional price tests for sugar, crude oil, petroleum fuels, and lubricants.

(6) Section 201.63(h) establishes an additional price test for sales out of free ports or bonded warehouses. This price rule is designed to permit financing such sales without permitting higher prices than had the goods moved directly from source country to destination country.

(7) Section 201.67 establishes maximum prices for freight charges, including charter shipments, liner shipments, and air shipments.

(8) Section 201.68 establishes maximum prices for commodity-related services other than freight charges. The purchase price for these services, which include incidental services and other delivery services, may not exceed the prevailing price or the price paid the supplier under similar circumstances by other customers.

(9) In addition to the above price rules, Section 201.65 provides for rules on commissions and discounts. The former are eligible if paid to bona fide sales agents of the supplier. Discounts to the importer must be deducted from the price financed by AID. Unless otherwise authorized, AID will not finance any payments to the importer or to the importing interests.

B. Under Project Procurement (Chapter 3 of Handbook 11) and Form 1450-4.

36.

The price, excluding transportation costs, of a commodity may not exceed the lower of (a) the market price prevailing for comparable sales in the source country at the time of purchase, or (b) the price generally charged by the contractor for comparable sales in the source country at the time of purchase. A comparable sale is one which is sufficiently similar to the present sale, with respect to quantity, quality, and conditions of sale that the price would not customarily be different from the price which the contractor is charging. Time of purchase means that period encompassing the date the purchase price is fixed during which prices in comparable sales remain substantially constant.

#### J. Commissions, Discounts, and Side Payments

All trade discounts, credits, and allowances to the purchaser must be deducted from the amount claimed from AID.

Commissions paid by the supplier to its agent if authorized for AID financing in the contract, may not exceed the amount customarily paid by the supplier for similar transactions or the amount customary in the trade, whichever is less.

Brokerage commissions for chartered shipments may not exceed 2½ percent of the ocean freight charge.

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37.

The supplier may not give or receive any side payment, kickback, commission or any other benefit from, to, or for the benefit of the purchaser, the purchaser's agent or the borrower/grantee.

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1228



Mobility International USA  
P.O. Box 10767  
Eugene, OR 97440

THE NATIONAL  
CLEARINGHOUSE ON  
DISABILITY AND  
EXCHANGE:  
EQUAL OPPORTUNITIES  
IN INTERNATIONAL  
EXCHANGE



MOBILITY  
INTERNATIONAL USA  
(MIUSA)

*Challenge Yourself and  
Change the World!™*

The National Clearinghouse on  
Disability and Exchange opens a  
world of international opportunities  
for people with disabilities through  
information and referral. By fostering  
partnerships between disability-related  
organizations and international educational  
exchange organizations, people with  
disabilities are forging new ground in  
previously uncharted territory.

Established in 1981, Mobility International USA (MIUSA) is a nonprofit organization dedicated to expanding equal opportunities for people with disabilities in international educational exchange, leadership development, disability-rights training, travel and community service.

In 1995, with funds provided by the United States Information Agency (USIA), MIUSA launched the National Clearinghouse on Disability and Exchange, a project built on the expertise and resources gathered during our history. The Clearinghouse goals are:

- to educate people with disabilities and disability-related organizations about international educational exchange opportunities;
- to increase the participation of people with disabilities in the full range of international educational exchange programs;
- to advise international exchange organizations about the Americans with Disabilities Act and its implications for their programs, provide practical how-to consulting and training on including

people with disabilities in their programs; and

- to facilitate partnerships between people with disabilities, disability-related organizations and international educational exchange organizations.

## SERVICES

- Personalized information, referrals, and support (by telephone, letter, fax or e-mail), both for people with disabilities interested in participating in an educational exchange and for organizations exploring possibilities with individuals and groups.
- A database of information, accessible through the Internet, which draws on the resources MIUSA has gathered during the past 15 years and is linked to the electronic databases of other international exchange and disability-related organizations.

# Information Referral

*"Volunteering with kids and young adults with disabilities in Peru gave me a tremendous sense of connection with the global disability movement...I wouldn't trade the experience for anything!"*

*"Studying for a semester in Rome, wheelchair in tow, I maneuvered through intimidating barriers and emerged with greater strength and confidence."*

*"Traveling with an ASL interpreter, I completed my art history course in England and am now ready to begin graduate school in the United States."*

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 Data Exchange Network  
 Patent Pending 60/115,343  
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## PUBLICATIONS AND INFORMATION

- *A World Awaits You*, a bi-annual journal with articles and interviews about people with disabilities who have successfully participated in international exchanges and organizations that are creatively including people with disabilities in all aspects of their international programs. The journal will explore a variety of topics and concerns of interest to international exchange organizations, disability-related organizations and individuals with disabilities.
- *The Clearinghouse Manual on Inclusion of People with Disabilities in International Exchange* will be available to international educational and volunteer exchange organizations. The Manual will address topics such as recruitment issues, program and physical accessibility and practical adaptations, transportation, communication issues, and anti-discrimination and disability-rights laws, regulations and resources.
- *Persons with Disabilities in International Exchange: Rights and Responsibilities*, a brochure that includes information on the Americans with Disabilities Act and other disability-rights legislation and resources for enforcement. It informs people with disabilities, their advocates and international educational exchange organizations about the rights of people with disabilities to participate in international exchange and the responsibility of exchange organizations to include people with disabilities in their programs.
- Articles in numerous publications will provide updates on new opportunities in international exchange.

## CONFERENCE PRESENTATIONS

MIUSA staff and past participants are available to conduct *training workshops* that will be presented at national and regional conferences sponsored by international educational exchange organizations and disability-related organizations. Workshops will cover a wide range of issues related to accommodating people with disabilities in programs for studying, teaching, volunteering, conducting research abroad and for other international opportunities.

## Training ROUNDTABLE CONSORTIUM

The Clearinghouse is a collaborative effort between international educational exchange and disability-related organizations. The Roundtable Consortium, is responsible for developing the Clearinghouse's goals. The Roundtable

*Alliance for International Educational Exchange  
 Association on Higher Education and Disability  
 Center for Assistive Technology/University of Buffalo  
 Council on International Educational Exchange  
 Disability Rights Education and Defense Fund  
 Disabled Peoples' International  
 HEATH Resource Center/National Clearinghouse on Post-secondary Education for Individuals with Disabilities*

The National Clearinghouse on Disability Information Agency (USIA). The USIA promotes States and other countries through a wide range of activities sponsored and administered by it.

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*Joining Hands Conference:* MIUSA will create a unique national conference bringing together both the disability community and the international exchange community. This conference will provide the opportunity for dialogue, troubleshooting and strategy development to increase the number of people with disabilities participating in international educational exchange.

# Volunteering

between MIUSA, USIA and 15 international organizations together this team, which is called the Consortium, will develop and carry out strategies to accommodate the needs of women with disabilities. The Consortium includes:

- Institute of International Education*
- NAFSA: Association of International Educators*
- National Council for International Visitors*
- Paralyzed Veterans of America*
- Partners of the Americas*
- Sister Cities International*
- University of New Orleans Rehabilitation Division*
- World Institute on Disability*

and Exchange is funded by the United States Agency for International Development to promote mutual understanding between the United States and other countries through programs of educational and cultural exchange programs. The funding is provided by the Bureau of Educational and Cultural Affairs.

## GET INVOLVED!

For anyone who has ever thought about teaching, studying, researching or volunteering overseas, or who has questions about how to make programs accessible to people with disabilities, MIUSA and the Clearinghouse are here to assist you.

Contact:

CLEARINGHOUSE PROJECT  
 c/o MIUSA  
 PO Box 10767  
 EUGENE, OR 97440  
 (541) 343-1284 (VOICE/TDD)  
 (541) 343-6812 (FAX)  
 MIUSA@IGC.APC.ORG (E-MAIL).

The above address/phone/fax/e-mail may also be contacted for general information about MIUSA and its other projects, including international exchanges, membership, newsletter, publications and programs focused on women with disabilities.

Teaching  
 Leadership  
 Research  
 Learning

*Leadership*  
*Miami*

**Building the Leaders  
of Tomorrow --  
Today.**



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**Leadership Miami** is an annual program sponsored by the Greater Miami Chamber of Commerce for men and women interested in making Miami a better place to live. Each year, potential participants are invited to apply for the year's class. From this group, 200 are selected to participate in the program and discuss Dade County's future. Consideration is given to applicants with demonstrated potential in their chosen fields and with an emphasis placed on selecting participants aged 25-40, from all walks of life, including the public and private sectors and all ethnic and religious backgrounds.

#### Leadership

#### Miami's Mission

Leadership Miami offers its members the opportunity to meet Miami's leaders and to share an intensive learning experience that focuses on community issues. The goal of Leadership Miami is to identify and educate tomorrow's leaders by exposing participants to today's prominent community leaders who have made a commitment to community service. The purpose of Leadership Miami is to foster the next generation of Miamians to be prepared to meet tomorrow's challenges.

The Leadership Miami program is structured to provide its members with lectures, seminars and small group discussions that address the most vital issues affecting Dade County. This dynamic format stimulates and encourages vigorous discussions by all Leadership Miami



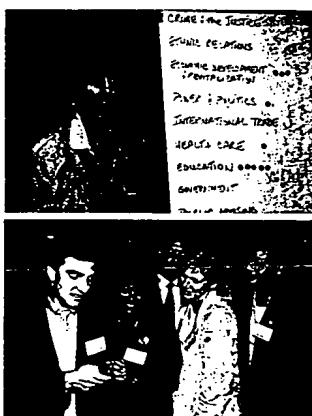
## Leadership Miami: For the Promising Few

participants of the critical topics reviewed by invited community leaders. Social interaction is encouraged by the diverse group of members and community leaders in classroom and social settings.

#### The Opening Session

The opening conference is an intensive two-day session held on Friday and Saturday. During the opening session, community leaders, government officials and prominent business executives present their individual perspectives on a wide variety of community topics. The topics include law enforcement,

education in a casual social setting. In years past, activities have included an evening treasure hunt at the Seaquarium, a boat cruise on the Miami River, a cocktail party in the private club at the top of a major banking tower and a dance held in the lobby of a landmark Brickell Avenue office building.



#### Preview Seminar Topics

The primary focus of Leadership Miami is the exchange of information and discussion by its participants.

Topics include:

**Government** -- A comprehensive overview of the structure and function of the key components of local government is presented by prominent government officials. Departmental areas of responsibility, fiscal government integration are highlighted in order to give participants a basic understanding of the interrelationship of county and municipal governments.

**Growth Management & Transportation** -- As Florida

attempts to absorb 1,000 new residents a day, the question of providing basic services within defined infrastructure limitations becomes acute. One of today's most pressing concerns is the need for an improved system of transportation and the control of unchecked urban sprawl. The program considers alternative proposals for comprehensive growth management and infrastructure needs.

**Health Care** -- The public health system of South Florida, among the nation's best, is laboring under increasing and unprecedented demands for delivery of quality health care to a divergent community. The Dade County Public Health Trust, school-based clinics, the AIDS crisis and Medicare/Medicaid funding are all topics of immediate concern to participants in Leadership Miami.

#### 4. Economic Development

The continuing need to bring Dade's economic growth to all segments of the community remains a pressing problem concerning residents who care about Dade County's future development. As the county's economy shifts from a tourism-based structure to the arena of foreign trade, banking and commerce, there is a greater need to encourage diversification. The question of ensuring opportunities for expansion and full participation by the community is of paramount importance to Leadership Miami.

**5. Politics** -- The interplay of local government and interest groups, along with the identities of political leaders and their agendas, brought to the attention of Leadership Miami. The political process unique to Dade's multi-leveled government and the vigorous role of private sector makers in public policy are explored as Leadership Miami participants seek to assume their places in the emerging political structure of tomorrow's Dade County.

**6. Intercultural Relations** -- Leadership Miami's program would not be complete without offering participants new insights into the

# Leadership Miami: *For the Promising Few*

is an annual meeting of the Greater Commerce for the future. Each participants are selected to program and city's future. to applicants essential in their own emphasis participants aged 35-45 life, including state and

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education, media, ethnic relations, human services, government, transportation, health care, environment and the arts.

These presentations are followed by group discussions of the topic, and question and answer sessions with the prominent guest speakers.

## Follow-up Sessions

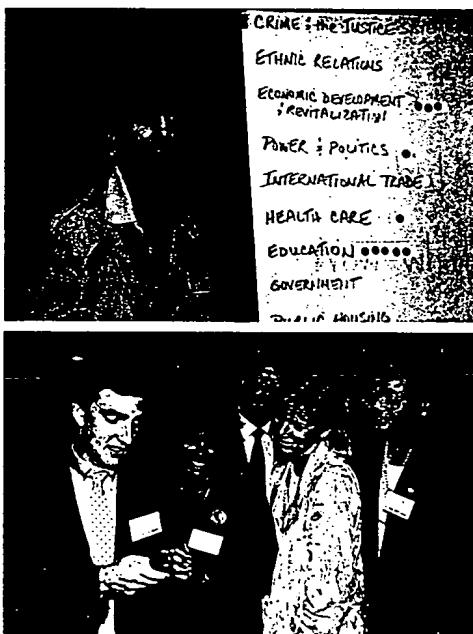
Additional sessions are scheduled following the opening conference to encourage further exploration and action related to community issues. The follow-up sessions are held over an eight-month period.

## There's fun, too!

Luncheons, social events and a graduation dinner/dance are all planned to enhance another important purpose of Leadership Miami: encouraging participants to meet and build friendships based on dedication to community service for Miami. The luncheon programs and cocktail parties enable participants to meet one another and the guest

lecturers in a casual social setting.

In years past, activities have included an evening treasure hunt at the Seaquarium, a boat cruise on the Miami River, a cocktail party in the private club at the top of a major banking tower and a dance held in the lobby of a landmark Brickell Avenue office building.



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**6. Intercultural Relations** -- Leadership Miami's program would not be complete without offering participants new insights into the

ynamics of Dade County's blend of ethnic communities. The stresses and opportunities present in Miami will surely remain paramount to the attention of the county's residents as Leadership Miami participants earn to build bridges of common interest between the cultures living and working together in Dade County, present and future.

**Crime and Criminal Justice --**  
Crime has been universally identified as a key community concern. At Leadership Miami, the focus is on the criminal justice system -- its vast array of programs and problems. Participants hear from those intimately involved on the front lines of public safety. Program speakers will involve Leadership Miami participants in recognizing chronic problems and will generate enthusiasm for bold proposals to break the cycle of crime and

punishment confronting Dade's criminal justice system.

**8. Media --** The print and broadcast media help define the public agenda in Dade County. Meeting the personalities behind the media and understanding the decision-making process at work in their news organizations are an integral part of the Leadership Miami program.

**9. Higher Education --** Dade County is fortunate in having developed, in its short history, institutions of higher education with impressive national reputations. Miami-Dade Community College, Florida International University, the University of Miami, Barry University, Florida Memorial College, St. Thomas University and others, provide educational and vocational opportunities to the county's residents. The

interrelationship between these institutions and their individual plans for continued growth and excellence are profiled in seminars and conferences of the Leadership Miami program.

**10. Youth Welfare and Drug Abuse --** Drug abuse, an unacceptably high drop-out rate, teenage pregnancy, gangs and youth crime, present Dade County with an on-going problem of growing proportions. During the Leadership Miami program, members begin to learn about the scope of issues and participate in discussions of potential solutions. The goal is to enlist Leadership Miami participants in the challenge to help all of Dade County's young people realize their greatest potential in a safe environment. ■

*The goal of Leadership Miami is to gather and teach our younger and brighter people about the critical concerns of our community. A class of 200 each year is balanced as to race, culture, gender, and geography. We want them first to know each other; to network; perhaps to like one another; but hopefully to trust the others. Miami is going to make it. Over 2,000 graduates of Leadership Miami will make it happen sooner. Help keep it a winner.*

"Leadership Miami is our future in Miami. I commend each and every one of you for taking the time to learn the issues and get involved."

— Susan Guber  
Representative, 117th District  
Florida House of Representatives

"Leadership Miami motivates and develops potential community leaders as it effectively ensures participants to meet present and future challenges which face Miami. Through the education and discussion of issues concerning the community's prominent changes, Leadership Miami provides an insight which provides leadership opportunities for all participants."

— Carlos Arboleya  
Vice Chairman, Barnett Bank of South Florida, N.A.

"Miami is a young, energetic, vibrant city that needs young, enthusiastic leaders to build coalitions to address the challenges that face our community. Leadership Miami introduces the future leaders to these challenges and to each other."

— Dorothy Weaver  
Vice President, InterCap Investments, Inc.

"No city becomes -- or stays -- great without great leadership, public and private. I applaud Leadership Miami for its investment in so precious a community asset."

— Edward T. Foote II  
President, University of Miami

"Leadership Miami brings together future leaders who are success-minded to help solve the community's biggest challenges. This organization is to be commended for its positive approach to our area's issues."

— Ileana Ros-Lehtinen  
Member, Congress of the United States

"By participating in and supporting this program, a citizen of Miami helps assure a generation of leaders will be prepared to step forward as the need arises."

— Sister Jeanne O'Laughlin  
President, Barry University

"Real Leadership is the courage to walk in the other direction when it 'appears' that everyone else is walking in the opposite direction."

— Howard Gary  
President, Howard Gary & Company

"In a community whose only constant is change, Leadership Miami provides the continuity we sorely need: Civic leadership is fostered at the highest level."

— Ruth Shack  
President, Dade Community Foundation

"Good and important things don't happen by magic. It takes a lot of dedication and work to get things done."

— Martin Fine  
Senior Partner, Fine Jacobson Schwartz Nash Block & England, P.A.

"There is no city in the United States that has a structure as wide open and accessible as Miami. Leadership Miami is a unique program, and certainly the best way to find out how to get involved."

— Armando Codina  
President, Codina Group, Inc.

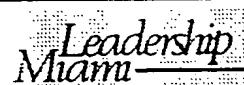
"Leadership Miami is a positive force to ensure our community's greatness in the future."

— Alva Chapman  
Consultant & Member of the Board of Directors, Knight-Ridder, Inc.

## GREATER MIAMI CHAMBER OF COMMERCE

Omni International Complex • 1601 Biscayne Blvd. • Miami, FL 33132 • Tel: (305) 350-7700 • Fax: (305) 374-6902

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### Sponsorship Opportunities

A program such as Leadership Miami could not exist without the financial support of the community. Each year Leadership Miami offers corporations the opportunity to sponsor Leadership Miami for an annual fee. The organization is guaranteed the selection of at least two designated employees to participate in the program, as well as ensuring that the company's name will appear on all Leadership Miami program literature. These include:

- Class Year Book;
- On-site billboard;
- Fact Book;
- Quarterly newsletter;
- Printed material used in all follow-up sessions;
- Sponsors are invited to participate in all functions.

*For more information, regarding the sponsorship, please contact  
the Greater Miami Chamber of Commerce at (305) 350-7700.*

### Leadership Miami Application

The following biographical information is requested from the applicants of the Leadership Miami Conference. Your cooperation is greatly appreciated. Please return the completed application with a photograph, no later than \_\_\_\_\_.

Please attach a passport size head and shoulder photograph here. It will be used in the yearbook so quality is important. Please put your name on the reverse side to avoid confusion. Do not glue or staple photograph.

Name: \_\_\_\_\_  
First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_

How long have you lived in Dade County? \_\_\_\_\_

Business Name/Type: \_\_\_\_\_

Title/Occupation: \_\_\_\_\_

Business Address: \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Business Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Home Address: \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Home Telephone: \_\_\_\_\_

Referred by: \_\_\_\_\_  
Name \_\_\_\_\_ Company \_\_\_\_\_ Class/Year \_\_\_\_\_

#### PLEASE CHECK APPROPRIATE INFORMATION LISTED BELOW:

- Male       Anglo       Asian/Pacific Islander
- Female       Hispanic       American Indian
- Black       Other: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Place of Birth: \_\_\_\_\_

#### EDUCATION

*(Begin with college(s), graduate, business/trade school, then high school)*

School/City/Major: \_\_\_\_\_ Dates from/to: \_\_\_\_\_ Degree: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**ORGANIZATION AND ACTIVITIES:**

*(List in order of importance to you, community, civic, religious, social, professional, or other organizations of which you are/have been a member).*

Organization	Membership Date	Position Held
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What do you consider your highest contribution to your community?

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What do you consider your greatest career achievement?

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In your opinion, what are the three most pressing problems facing South Florida today?

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A limited number of scholarships will be available for those demonstrating need. If you wish to be considered, please state reason.

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*All applicants are subject to confidential evaluation. If you are not selected to participate, you may reapply next year.*

Date \_\_\_\_\_

Applicant's Signature \_\_\_\_\_



Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343  
1238

GUIDELINES

PRELIMINARY  
PROJECT SUMMARIES

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P.D.

1997  
SOLICITATION PACKAGE

FOR PROPOSALS SUBMITTED TO THE  
UNITED STATES INFORMATION  
AGENCY

OFFICE OF INTERNATIONAL VISITORS  
GROUP PROJECTS DIVISION



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1240

1997 GUIDELINES  
FOR PROPOSALS SUBMITTED TO THE  
UNITED STATES INFORMATION AGENCY  
OFFICE OF INTERNATIONAL VISITORS  
GROUP PROJECTS DIVISION

These guidelines apply to all requests for proposals issued by the Group Projects Division (E/VP) of the Office of International Visitors, United States Information Agency (USIA). Proposals should succinctly but completely address the elements described herein. All requested attachments must accompany the submission; incomplete submissions will not be reviewed.

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## APPLICATION PROCEDURES

To be eligible for consideration, organizations must: 1) be incorporated in the U.S.; 2) have not-for-profit status as determined by the IRS; and 3) be able to demonstrate expertise in a field relevant to the theme of the project as well as a proven record of at least four years of successful work in international exchange, including responsible fiscal management and full compliance with all reporting requirements if the organization has received a prior Agency grant or award. Organizations with less than four years of experience in international exchange will not be eligible.

ADDRESSES: Qualified organizations wishing to bid for Office of International Visitors Multi-Regional Group Projects (MRP) should submit proposals by the deadline to the following address:

U.S. Information Agency  
Ref: E/VP-97-1  
Office of Grants Management, E/XE  
301 4th Street, S.W. Room 336  
Washington, D.C. 20547

## INTRODUCTION

Under the International Visitor (IV) Program of the U.S. Information Agency (USIA), distinguished visitors from abroad come to this country for short-term visits to pursue professional programs and to develop a better understanding of the U.S. and its people.

Each year, USIA invites foreign leaders in such fields as government, economies, journalism and media, social processes, business, culture and the arts to the U.S. to participate in the International Visitor Program, generally for periods of up to 30 days.

Many International Visitors (visitor) participate in Multi-Regional Group Projects (MRP). These projects are administered by the Group Projects Division (E/VP) of USIA's Office of International Visitors, which coordinates project design, implementation and evaluation. E/VP ensures that the content, timing and funding of these projects are consonant with Agency guidelines. E/VP's outreach and review procedures encourage non-profit institutions to submit competitive proposals to implement MRPs in response to Requests for Proposals (RFP) in the Federal Register. E/VP coordinates implementation with institutions selected to administer projects.

MRPs are conducted for English-speaking visitors from all countries and are on themes of global interest. MRPs are often large, typically ranging in size from 12 to 30 visitors.

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#### SUMMARY STATEMENT OF WORK

The successful applicant for any MRP award must:

1. Design a pre-arranged national itinerary and program of activities in collaboration with USIA and the network of community affiliates of the National Council for International Visitors [NCIV], or other local sponsors, for a group of visitors to be selected by USIA.
2. Ensure that the group of visitors is offered a well-balanced, well-paced, and varied experience that will be significant to the visitors' professional careers while meeting USIA program objectives.
3. Prepare the Washington, D.C., program to include appropriate and relevant Washington-based resources, taking into consideration scheduling, pacing, city-wide transportation, and sequence of program activities while seeking to provide a professional and cultural balance to the program.
4. Provide the NCIV affiliate or other local sponsor in the communities chosen for the project itinerary with information concerning the program themes and objectives in each stop and seeing that the visitors have a varied set of cultural and social experiences representative of life in their communities.
5. Provide NCIV affiliates or other local sponsors with accurate and relevant information, including overall itinerary and logistical support required, as well as with information about the individual visitors [as provided by USIA] far enough in advance for careful planning, and keep them apprised of changes in plans or pertinent facts concerning the visitors.
6. Brief the team of English Language Escort officers (ELEOs),

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to be supplied by USIA, regarding the design of the program and the expectations of the program coordinators.

7. Assure that visitors, who will receive a per diem allowance from the USIA for payment of their hotel charges and other expenses, meet all their obligations with the funds provided them.

8. Maintain a standard of excellence in all aspects of the program arranged for guests of the U.S. government.

9. Carry out all administrative, logistical and reporting responsibilities as established by assistance award and relevant federal guidelines and circulars.

#### MULTI-REGIONAL GROUP PROJECT DEVELOPMENT

Planning: USIA's annual planning process for all programs begins with the Agency's overseas posts (missions). Each post writes an annual plan to describe the situation in its country and to request programming support for the upcoming year. The plans are organized by major themes such as international security policy, democratic institutions, international economics, communications and information, and American society. The development of all USIA activities is guided by post annual plans.

E/VP relies heavily on post plans to develop an annual list of MRPs. Responsibility for nominating visitors rests with overseas posts. A post IV Selection Committee decides which IV nominees will be selected to participate in MRPs. The Group Project Division seeks to develop a varied and relevant agenda of projects to attract a large percentage of visitors to MRPs. In FY-1995 over 800 visitors participated in MRPs. Other visitors participated in the IV Program as individuals or participants in smaller group programs.

Concept Papers: For each MRP, E/VP prepares a one-to-two-page Preliminary Project Summary or concept paper. The summaries specify project dates and define the goals of the project, the desired characteristics of the visitors, and describe activities that may be helpful in conveying the major themes to be covered. The summaries are included in any RFP announcement in the Federal Register. More extensive concept papers are part of the Solicitation Package. The RFP establishes deadlines for the receipt of proposals for each announced MRP.

Program Agency/Applicant Selection: Some MRPs are assigned

by USIA to national program agencies which are members of the National Council for International Visitors (NCIV). For FY-1997, twenty-one MRPs are open to competitive bidding by the national program agencies as well as outside agencies which wish to enter the competitive process. Academic and cultural institutions, exchange-of-persons and other not-for-profit organizations that can demonstrate four years of experience in the international educational and cultural exchange field are eligible to apply for assistance awards to implement individual MRPs. Each project requires a separate submission. USIA expects the competitive process to contribute to an overall improvement in the substance and quality of MRPs.

Proposal Preparation: The applicant's work begins with the design of a project proposal detailing the project's itinerary, which normally includes four or five visits to a variety of geographic regions and a combination of metropolitan and rural areas. The project's prospective sub-themes and appointments at each itinerary stop are outlined at this stage. The applicant must arrange local programs through the community based affiliates of NCIV if there is an affiliate in the community to be visited. Applicants should utilize the resources of a broad selection of communities in the NCIV network. In New York City, program arrangements are to be made in conjunction with USIA Reception Center.

Applicants should contact local community sponsors to discuss the availability of program resources to carry out the theme planned for that city and to determine whether the projected dates for the program are acceptable. The applicant should not expect the local program officer to carry out extensive research on community resources on a given topic during the proposal-writing phase, however, since the proposal will be submitted to USIA as part of a competitive selection process.

To ensure that the full range of issues relating to the topic of the visitor's program is covered, applicants should provide communities with differentiated sub-themes to serve as the focus of programming in each community.

MRP groups are usually divided into subgroups for "team visits" to different cities or towns, enabling visitors sharing more specific interests to meet with Americans whose expertise may not be relevant to the entire group and to provide a more individualized experience.

Through the RFP, E/VP will provide the name of the E/VP Project Coordinator to prospective bidders who are encouraged to work closely with that individual in developing proposals. Project Coordinators can provide information about the types and numbers of nominations received, once it is available, which is useful and necessary for project proposal and budget development. All publications and program related data prepared by successful applicants must be cleared by the E/VP Project Coordinator.

Proposal Budget: Proposals must include a budget. Proposal budgets include funds to cover the applicant's cost for administering the project, as well as group project costs for the benefit of the visitors such as van or bus transportation, books or subscriptions, rental of conference rooms, and modest honoraria for speakers. Budgets must also include all visitor costs and per diem, travel and allowances for ELEOs.

Proposal Review: Once the MRP proposal is submitted to USIA, the applicant will be in competition with other applicants for selection as the organization responsible for the coordination and implementation of the project. Proposals are reviewed for both substantive content and budget by E/VP staff to screen for compliance with program guidelines and to identify budget issues or inconsistencies. Eligible proposals are then paneled by an

Advisory Committee, comprised of senior agency staff experienced in international exchanges, which evaluates proposals based on Committee provides guidance to the review criteria. The Advisory improve proposals. Proposals are then forwarded to USIA's Associate Director for Educational and Cultural Affairs for final decision. Following approval, project design conditions and/or modifications are worked out by the E/VP Project Coordinator with the winning institution. The E/VP Project Coordinator is the individual responsible for monitoring applicant compliance and implementation of the approved project.

Project Implementation: Award expenses may not be incurred prior to the effective date of the assistance award. A final signed agreement must be received from the USIA Contracting officer prior to incurring any expenses for project implementation. No pre-agreement costs will be paid by USIA. The USIA Project Coordinator will coordinate the project and serve as liaison with overseas posts who nominate participants. The USIA Project Coordinator will exercise final authority in approving project design, pace and itinerary. Program itineraries are to be finalized at least one month ahead of project opening in order to allow time to provide preliminary itineraries and program schedules to posts for visitors, and biographical data as well as the professional purpose and reason for the visit to local sponsors. A draft program booklet must be sent to the E/VP Project Coordinator at least ten days in advance of the Group's arrival.

Openings/Closings are considered an essential component of all International Visitor MRPs. openings are at the beginning of a project when introductions are made, the objectives of the program are explained to the visitors in detail and administrative matters are conducted. Projects usually open in Washington, D.C. The USIA Project Coordinator will decide, in conjunction with the programming organization, if it is

appropriate to open the project at USIA headquarters. The first week of a project generally includes an informal session to allow visitors to get to know each other better. Closings are at the end of the project when the project coordinators from both the successful applicant and USIA come together with the group to evaluate the project.

While time should not be wasted, neither should visitors be held in meetings and workshops all day, every day. Groups should have a varied and well-rounded visit to each community. Time should be reserved to allow visitors to meet and talk informally with Americans in a variety of settings, to visit museums, landmarks, visit schools to meet with teachers and students, or just to rest and reflect. USIA desires participation in MRPs to be a lively and stimulating learning experience. MRPs should expose visitors to diverse experiences, discussion topics and opinions. It is important that presentations not be repetitious. Each city segment must have a specific professional focus. Every session should include ample time for comments from visitors and questions and answers. The applicant or an ELEO should contact local sponsors a few days in advance of a group's arrival to discuss how the mood, experiences and interests of the group have evolved. If necessary, USIA anticipates that local sponsors would adjust local programs to make sure activities do not repeat those of previous stops, provided sufficient notice is provided. Many MRPs include opportunities for some individual appointments for visitors.

Applicants are responsible for insuring that programs are balanced, non-political, non-partisan, and representative of the diversity of American political, social, and cultural life. Balance and diversity should be manifest in terms of itinerary, geography and community-size; the range of opinions to which visitors are exposed; the professional backgrounds of those commenting on the issues; the ethnic, socio-economic and age

diversity of the American people; and other factors which may be of particular relevance to the particular subject or particular visitor(s) for whom programming is being arranged.

English Language Escort Officers: ELEOs who accompany visitors are freelance professionals under contract with the Department of State's office of Language Services. The E/VP Project Coordinator, in cooperation with the State Department, selects ELEOs to accompany each group. The ELEOs come from all walks of life. Most accept assignments on a part-time or occasional basis, although some are assigned frequently throughout the year. Their duties are many and varied, but include facilitating contacts with Americans, smoothing the visitors' way once travel and program arrangements have been made, and helping to bridge cultural gaps. They are the principal link with the visitors during program travel. They are expected to serve as a buffer and mediator between the visitors and whatever difficulties may arise. ELEOs are always assigned to MRPs to help facilitate group logistics and dynamics. A formal description of ELEO functions can be found in the "Escort Interpreter Manual," which is available to applicants from E/VP on request.

Review and Evaluation: E/V Project Coordinators conduct a review and evaluation session with visitors at the conclusion of each MRP (provided travel funding is available). The coordinator's impressions and conclusions are shared with USIA posts. The applicant is expected to attend the final evaluation (provided travel funding is available). In addition, ELEOs prepare project reports and USIA posts prepare reports on visitor feedback when it becomes available. These reports will be shared with successful applicants at the Agency's discretion.

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PROPOSAL BUDGET GUIDELINES  
FOR  
USIA INTERNATIONAL VISITOR MULTI-REGIONAL GROUP PROJECTS

All budget items should describe fully the purpose of the item. If the assistance awardee will share costs, the budget should identify what USIA pays for and what other funders pay for.

The budget essentially translates into cost items of all activities described in the narrative. For example, staffing needs described under the "program management" section of the proposal should be reflected in the budget under "salaries."

The guidelines for this section should be followed as closely as possible. The budget should reveal calculations used in arriving at estimated figures. Best estimates are important, because all changes in the budget subsequent to the applicant's approval will require USIA concurrence.

Proposal budgets should be divided into two parts:

1. Summary Budget -- Provide a brief summary of the items of expenditure for the USIA assistance award and contributions from other sources.
  
2. Line-Item Budget -- Each item of expense should be listed (with the funding source identified in separate columns if funding other than USIA is anticipated). Within each line-item, provide unit cost details. Divide the Line-Item Budget into Administrative, Group Project, and Program Costs sections. See the sample format attached. Use notes where further explanation of line items is required to clarify how you arrived at your figures.

The following guidelines should be used in developing budgets for

MRP proposals:

1. NUMBER OF VISITORS: When preparing budgets, contact the E/VP Project Coordinator to determine the anticipated number of visitors and ELEOs.
2. SALARIES: Detailed staff requirements need to be part of the budget submission. For each position, list the proposed salary and the percentage of time to be charged to the project over what duration of time.
3. FRINGE BENEFITS: Benefit costs should be separated from salary costs. Include an explanation of the components (e.g., 5% health plan, 7% retirement, etc.). In some cases, organizations have a standard percentage which includes all fringe benefits, i.e. health insurance, retirement benefits (FICA or pension plan or both), life insurance, etc. If this is the case, the fringe benefit package should be documented.
4. STAFF TRAVEL: The applicant is expected to prepare and attend the opening session of the MRP. Round-trip travel, plus up to five (5) days per diem should be included in the staff travel budget line item under administrative cost if staff is not based in the city in which the project is to be opened. (Special allowance for this cost may be made for applicants not located in the Washington, DC area that propose to open projects in Washington, DC.) Travel for out-of-town evaluation at the conclusion of the MRP should be planned and included in the Group Project portion of the budget. Per diem rates for U.S. travel by applicants can be found at the USIA website: <http://www.usia.gov/> or to the Internet Gopher at gopher://gopher.usia.gov. Travel is to be implemented in conjunction with, and only after the approval of the Chief, E/VP.

The Uniform Travel Regulations (UTR) apply to all USIA assistance

awards including provisions for city-pair contracts, Fly America rules, per diem or subsistence limits in the U.S. All domestic travel costs must be based on coach fare.

Under current policy, USIA withholds funds for domestic airfares for visitors and ELEOs and administers them on behalf of the assistance awardee. Award applicants must use Omega Travel Agency, USIA's contract Travel Management Center for visitor and ELEO ticketing. Applicant's travel arrangements can be made through omega or another travel agency and are paid from award funds by the applicant.

In the IV program, USIA pays all international travel. Therefore, budgets need not include international travel.

5. HONORARIA: Honoraria for people or institutions that will address or host visitors must be approved in advance and should be very limited. Applicants should state total honoraria proposed, include a justification, and show a breakdown in terms of proposed recipients and daily rates. USIA guidelines limit institutional honoraria to \$2,000 total. Individual honoraria may not exceed \$250 per day and generally are held below this.

6. GROUND TRANSPORTATION: Provide separate itemizations for any proposed van/bus rental in each city, inter-city train or bus fares, and airport transfers for each city. Since \$300 of the domestic transportation allowance budgeted under Part III Program Costs are considered to be for GROUND transportation, that amount must be deducted for each visitor and ELEO from the total anticipated cost of GROUND transportation to obtain a proposed group project cost in this category.

7. WORKING LUNCHEON/DINNER: A maximum of one Working luncheon/dinner, normally scheduled on the opening day of the project, may be authorized, unless extenuating circumstances

exist which dictate additional hosted events, in which case advance approval must be obtained from E/VP. All applicant and USIA staff are to pay the first \$7.50 for their own participation in working luncheon/dinner.

8. OTHER DIRECT ADMINISTRATIVE EXPENSES: List items separately for all anticipated costs as telephone/cable, copying, printing, postage, office supplies, etc.

9. INDIRECT COSTS: Indirect costs are general operating costs that are allocated institution-wide. Government policy, as expressed in OMB Circular A-122, states, "The distribution base (for indirect costs) shall generally exclude visitor and ELEO support costs." These costs are defined as per diem, cultural allowance, international/domestic travel, and travel allowance as itemized in Part III of the proposal budget summary, as well as Part II Group Project Costs that directly benefit the visitor.

Indirect cost rates are either "provisional" or "negotiated". The applicant should specify which category applies. Provisional rates are subject to audit and can be changed if audit findings disprove the rate assigned. Negotiated rates are determined by the "cognizant" federal agency, and must be accepted by other federal agencies. The applicant must provide a copy of the letter from the cognizant federal agency which has authorized a negotiated rate.

The applicant may choose to cost-share indirect costs. The portion of these costs that is to be absorbed by the applicant should be clearly accounted for as an organization contribution in the budget.

10. VISITOR COSTS: An authorization document will be executed by USIA regarding the distribution of funds to visitors to cover the costs of per diem (fixed rate of \$140 per day), international

return travel allowance (\$70), and the book and cultural allowance (\$150). Domestic transportation (\$1150) and ground transportation (\$300) costs will also be authorized. These funds (excepting domestic transportation) will be transferred to the applicant. Per diem funds are intended to cover the cost of lodging, meals, and incidentals for each visitor. USIA provides insurance coverage for visitors. It is unnecessary to include an item in the proposal budget for insurance.

11. ENGLISH LANGUAGE ESCORT OFFICER COSTS: Travel and per diem (at the same rates provided to visitors); book and cultural allowance (\$150); and travel costs from their home to the point of program origin and return home from point of program's conclusion (estimated at \$300) are authorized. ELEOs may receive an additional day or two of per diem to allow them to facilitate visitor arrival and departure. This will be specified by the E/VP Program Coordinator.

12. NOT ALLOWED: Items which may not be funded by an assistance award include: 1) contingencies or un-anticipated increases in expenses due to inflation, 2) miscellaneous, un-itemized costs, 3) contributions and donations to others, 4) equipment, 5) expenses incurred before or after the specified duration period of the assistance award.

13. APPROVALS: Any deviation from standard practices for programmatic or administrative procedure must be approved by E/VP. Expenditures beyond those specified in the assistance award must be approved by E/VP and USIA's office of Contracts before additional costs are incurred. Requests for exemptions or additional funding should be directed to the Chief of E/VP. They may or may not be granted.

14. OMB Circulars No. A-110 (revised) and No. A-122 will govern any cost incurred as a result of any award. OMB Circular A-133

defines audit requirements.

REPORTING REQUIREMENTS

The following reports are required:

A. Financial and Statistical

- 1) Financial report within thirty (30) days following each project for expenditures for which funds were authorized. These reports should be directed to USIA's office of Contracts, Grants Division (M/KG), with a copy sent to Chief, E/VP. In those instances where final expenditures are not known, an interim report showing an estimate of costs incurred should be used, to be followed by a final report.
- 2) Report listing honoraria paid to institutions and individuals. This report should be sent to E/VP within thirty (30) days following each project.
- 3) CIV Utilization Report showing affiliates of NCIV utilized in the project and how many visitors were sent to each affiliate.

B. Program Reports

- 1) A narrative activity report must be sent to E/VP within fourteen (14) days after the conclusion of each project. The report should include high and low points of the program, a summary of the evaluation session, and comments on fulfillment of project purposes.
- 2) Copies of all sponsor reports, letters and other materials received by the applicant are to be sent to the E/VP Group Project Coordinator.

WORK PLAN/TIME FRAME

Assistance awardee will be expected to meet the following deadlines:

- Proposal, including budget, due to USIA-E/VP according to deadlines indicated in the RFP for each project.
- 6 weeks prior to project opening date: Applicants receive notice of outcome of competition. Cooperative agreement signed and forwarded by USIA Office of Contracts to successful applicant. Successful applicant receives visitor information from E/VP. Assistance awardee coordinates opening city appointments and collaborates with local sponsors in developing national appointments.
- 4 weeks prior to project opening date: E/VP enlists at least two contract ELEOs. ELEOs contact assistance awardee for project information. Assistance awardee provides visitor rooming list for Washington hotel as confirmed by E/VP.
- 10 days prior to project opening date: Assistance awardee forwards National Program Book draft to E/VP for review.
- 3 days prior to project opening date: Program book finalized, printed and distributed by assistance awardee to E/VP, ELEOs, and the visitors' arrival packets.
  - Visitor Arrivals List completed by E/VP.
  - ELEOs meeting conducted in the opening city by E/VP and assistance awardee, bringing together E/VP and assistance awardee coordinators and the ELEOs, for in-person review of program itinerary, appointments, and international arrivals.
- 2 days prior to project opening date: Visitors arrive.

ELEOs and local sponsors meet them at airports.

- 3 days following project opening date: Assistance awardee finalizes visitor return travel arrangements and calculates any increases or decreases in international ticket costs.
- Between project opening and closing dates: Assistance awardee monitors project administration and coordinates local programming with CIVs.
- 1 day prior to project closing date: E/VP and assistance awardee coordinators join group in closing city to conduct evaluation on project closing date (provided travel funds are available).
- 1 day following project closing date: Visitors leave U.S. ELEOs assist airport departures.
- 2 weeks following closing date: Applicant's project evaluation report due to E/VP. E/VP conducts evaluation meeting with applicant coordinator.
- 30 days following end of grant: Financial report due.

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QUESTIONS

If you have questions about the MRP process or about a specific MRP, contact staff listed in the RFP. General questions may be addressed to:

Mrs. Janet Beard, Acting Chief  
Group Projects Division (E/VP)  
301 4th Street, S.W. Room 255  
Washington, D.C. 20547  
Telephone: 202/205-3058  
Facsimile: 202/205-0792

All E/VP staff can be reached through these telephone and fax numbers.

FORMATS

The following formats for proposals and budgets should be used in preparing submissions.

MULTI-REGIONAL GROUP PROJECT PROPOSAL OUTLINE

1. Title Page

Should provide project title, project type, and project dates, preferably on the letterhead of submitting organization. Also included should be name of E/VP Chief and E/VP Project Coordinator as well as that of the Director of the bidding organization and the organization's responsible program officer.

2. Assistance Award Cover Sheet and Checklist

3. Summary

In a few paragraphs, describe the project.

4. Characteristics of the Visitors

Include the information provided by USIA in the RFP and the concept paper included in the Solicitation Package.

5. Project Goals

Include the information provided by USIA in the RFP and the concept paper included in the Solicitation Package.

6. Institutional Background

Outline the experiences and resources of your institution which will contribute to the effective planning and conduct of the project. Include appropriate information reflecting the subject expertise of the program team.

7. Calendar

A schematic representation of the proposed project itinerary, or a calendar grid showing the timing of the various stops planned for the group.

8. Project Elaboration

Provide a city-by-city description of proposed group activities which is as complete and accurate as possible. The theme and focus of each project segment should be clearly described. It is important that project meetings you propose be linked to the goals and objectives of the project. Applicants should provide representational examples of speakers, cooperating institutions and facilities to be visited. This narrative may not exceed 20 double-spaced typed pages in length.

9. Project Budget

Use the following budget format, with three columns for each cost category, showing the amount requested from USIA, proposed cost sharing by the applicant, and total cost.

MRP BUDGET SUMMARY

MRP TITLE:  
PROJECT DATES:  
NO. OF VISITORS:  
NO. OF ELEOs:  
PROGRAM OFFICER:  
APPLICANT:

DATE SUBMITTED:  
REVISION MADE:

	USIA	COST SHARING	TOTAL
I. ADMINISTRATIVE COSTS	\$ _____	\$ _____	\$ _____
II. GROUP PROJECT COSTS	\$ _____	\$ _____	\$ _____
III. PROGRAM COSTS	\$ _____	\$ _____	\$ _____
IV. INDIRECT COSTS	\$ _____	\$ _____	\$ _____
GRAND TOTAL	\$ _____	\$ _____	\$ _____

MRP PROJECT BUDGET

MRP TITLE:  
PROJECT DATES:  
NO. OF VISITORS:  
NO. OF ELEOs:  
PROGRAM OFFICER:  
APPLICANT:.

PROPOSED ITINERARY:

	USIA	COST SHARING	TOTAL
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PART I ADMINISTRATIVE COSTS

1. Staff Costs
  - Position No. 1 (identify position and pay rate)
  - Position No. 2 (identify position and pay rate)
  - Other Positions (identify position and pay rate)
  - Temporary Staff (identify position and pay rate)
2. Fringe Benefits (and how calculated)
3. other Direct Administrative Costs
  - Item No. 1
  - Item No. 2
  - Other Items
4. Staff Travel (opening, other proposed)

ADMINISTRATIVE COSTS SUB-TOTAL

PART II GROUP PROJECT COSTS

1. HONORARIA
  - A. Individual Honoraria
    - Identify
  - B. Institutional Honoraria
    - Identify

HONORARIA COSTS SUB-TOTAL

2. OTHER GROUP COSTS

- A. Rental of Conference Rooms
- B. Books & Resource Materials for Visitors
- C. Ground Transportation (city by city)
- D. Staff Evaluation Travel (and how calculated)
- E. Working Lunch/Dinner

OTHER GROUP COSTS SUB-TOTAL

PART III PROGRAM COSTS

1. Visitor Costs

- A. Domestic Transportation (inter-city)
- B. Per Diem
- C. Book and Cultural Allowance
- D. International Travel Allowance
- E. Ground Transportation

2. English Language Escort Costs

- A. Regional U.S. Airfare
- B. Domestic Transportation
- C. Per Diem
- D. Book and Cultural Allowance
- E. Ground Transportation

PROGRAM COSTS SUB-TOTAL

PART IV INDIRECT COSTS (and how calculated)

GRAND TOTAL

### PRELIMINARY PROJECT SUMMARY

**TITLE:** GRASSROOTS DEMOCRACY IN THE U.S. FEDERAL SYSTEM  
**TYPE:** Multi-Regional  
**DATES:** April 3-24, 1997

**PROPOSAL DUE DATE:** JANUARY 7, 1997  
**CONTACTS:** SUSAN LOCKWOOD/GAIL CURTIS

**PROJECT GOALS:**

- To provide a greater understanding of the democratic form of government in the U.S. and of citizens' involvement in their own governance;
- To observe the variety of citizen groups which interact with American elected officials at all levels to address legitimate, divergent interests;
- To illustrate the diversity of viewpoints held by Americans and how this diversity contributes to a dynamic and resilient pluralistic political system.

**PARTICIPANTS:** This project is designed for civic and community leaders, political party leaders, local government officials, journalists, and educators.

**SUMMARY:** The aim of this project is to demonstrate that citizen participation in the political process is a means of harnessing the power of constructive criticism to effect change and to ensure stability in government. Participants will encounter a wide variety of special interest and citizen action groups which have arisen in the U.S. to articulate the social and economic pressures inherent in a multi-ethnic, market-oriented society.

The group will visit different geographic regions to observe grassroots political organizing firsthand and to hear local citizens contributing to the debate on national and international concerns, including world peace and security, immigration, the environment, human rights, economic revitalization, consumer protection, and accountability in government. Discussions will include voters' expectations at all levels of government and, wherever possible, the participants will meet with elected municipal, state, and federal officials. The participants will also observe the variety of methods used in schools, the workplace, community groups, and civic organizations to educate citizens on civic rights and responsibilities in a democracy.

In Washington, D.C., meetings with academics and think tank specialists will center on factors that shape the participatory nature of democracy in a pluralistic society. At the national headquarters of selected special interest groups, participants will learn the impact that local and regional outlooks have on national policy-making and they will learn more about the philosophy and techniques of citizen action groups, including those related to coalition-building, fund-raising, lobbying Congress and government officials, and drafting legislation. The group will meet with members of Congress or staff to discuss the pressures on Congress

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from its various constituencies and the means by which the conflicting demands of these groups are accommodated. The participants will be briefed at federal agencies, such as the Environmental Protection Agency and the Consumer Product Safety Commission, that were formed as government's response to civic action and advocacy.

In cities and small towns located in diverse economic regions of the country, participants will meet with a wide variety of grassroots organizations such as neighborhood boards, professional associations, citizen action leagues, church groups, and local chapters of single-issue advocacy organizations such as Mothers Against Drunk Driving or the Coalition to Stop Gun Violence. They will observe the extensive range of ways in which American citizens can become involved in the political process and advocate their particular cause or viewpoint. Additionally, local leaders of demographic groups such as AARP, the NAACP, and the League of Women Voters will address the group on their grassroots activities to promote policies beneficial to their members.

In a state capital with a sitting legislature, participants will attend a public hearing on bills being considered by lawmakers and meet with elected officials to hear about their efforts to ensure that all viewpoints are accommodated during the policy-making process. The group will learn of the input citizens can make on public policy through the processes of initiative and referendum, as well as through use of the media.

Home hospitality will be a major component of this project.

## PRELIMINARY PROJECT SUMMARY

**TITLE:** DRUG ABUSE PREVENTION AND EDUCATION PROGRAMS  
**TYPE:** Multi-Regional  
**DATES:** April 10-May 1, 1997

**PROPOSAL DUE DATE:** JANUARY 7, 1997  
**CONTACT:** AZZA ZAKI

### PROJECT GOALS:

- To provide a balanced and diversified view of the variety of approaches to narcotics and drug abuse prevention and education in the U.S.;
- To illustrate the roles of individuals, families, schools, churches and civic organizations and government agencies in dealing with drug abuse through prevention, education, treatment and research;
- To recognize the commonality among nations in combating drug abuse and to share prevention strategies that have proven successful;
- To provide an historical and institutional context in which to view U.S. efforts to prevent drug abuse.

**PARTICIPANTS:** This project is designed for educators, health care professionals and government officials responsible for implementing drug abuse prevention policy; community and social workers; journalists who specialize in health care issues; professors of community health; clergy; counselors, and community activists who are concerned with drug abuse prevention and education.

**SUMMARY:** Drug abuse has been an intractable problem in the U.S. as a new generation now is showing signs of falling into the habits of their elders, regarding use of recreational and hard-core illicit substances. This project will provide an overview of the U.S. response to drug abuse by surveying education strategies and discussing treatment and interdiction methods. Through visits to a variety of urban and rural settings in diverse regions of the U.S., the project will emphasize current efforts in drug abuse prevention and education, especially those at the local level. The efforts of community groups, schools, law enforcement authorities, and public welfare agencies to combat drug abuse, treat drug abusers, and educate citizens will be highlighted. The project will provide an opportunity for foreign participants to share their own experiences and concerns.

This four-week project will open in Washington, D.C. An overview of the role of government agencies in overall drug policy, including the government's coordination of research and outreach programs dealing with drug abuse at the grassroots level. Participants will examine

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the historical and institutional framework of U.S. efforts that deal with illegal drug use. The group will meet with representatives of the various federal agencies involved in addressing the problem, such as the National Institute on Drug Abuse. For background on the status of supply side efforts, the group will meet with officials of the Department of State (Bureau of International Narcotics Matters), and the Department of Justice (Drug Enforcement Administration). A visit to the Department of Education (Center for Substance Abuse Prevention) will highlight the development of anti-drug curricula and discuss means to drug proof future generations. On Capitol Hill, participants will hear from congressional committee members and staff on new and pending anti-drug abuse legislation.

Outside Washington, participants will visit small, medium, and large cities. The group will meet with local government, law enforcement officials, and with the wide range of local groups working to prevent drug abuse at all age levels. They will look at various ethnic and income groups to examine what they are doing to treat drug abusers and educate citizens about the hazards of drug use. Participants will also meet with representatives of local businesses to observe different types of employee testing and assistance programs. They will interact with young people either at school or community centers to examine how they run drug abuse prevention programs. Another element of this program will cover media campaigns on the education of the public through television commercials featuring well-known personalities, newspapers and magazine ads. Participants will visit a variety of environments in which people receive health care, such as major research hospitals, large, urban public health facilities, trauma centers, and small, rural public health clinics. Participants will meet with their American counterparts to learn specific responsibilities, and talk informally to local civic, professional or student groups about drug abuse problems and prevention programs in their home countries.

Each city's program will include an introduction to its specific social and cultural dynamics. This will aid participants in better understanding the context in which U.S. programs on drug treatment, prevention, and education have developed. Emphasis will be on first-hand learning throughout these segments. In a public school session, visitors will observe school programs that promote awareness of the dangers of drug use. Programs developed to educate children at an early age, and programs in the middle schools aimed at combating peer pressure toward indulgence in the drug culture in the schools will be examined.

Finally, an opportunity to hear arguments from organizations that advocate the legalization of "soft"drugs in the United States will be included in the program.

Social and cultural events and home hospitality will be emphasized throughout the program.

### PRELIMINARY PROJECT SUMMARY

TITLE: THE ROLE OF CONGRESS IN THE U.S. POLITICAL SYSTEM  
TYPE: Multi-Regional  
DATES: April 24-May 15, 1997

PROPOSAL DUE DATE: JANUARY 7, 1997  
CONTACTS: JANET BEARD/AZZA ZAKI

#### PROJECT GOALS:

- To provide a deeper understanding of the American political process and the role of Congress in this process;
- To acquaint participants with the forces that drive the Congress;
- To examine ways in which American citizens influence the policy-making process through their members of Congress.

PARTICIPANTS: This project is designed for politicians, academics, government officials, journalists, political party and labor leaders who have a background or special interest in American politics.

SUMMARY: Of all American national institutions, the U.S. Congress presents perhaps the prime example of representative democracy at work, affording day-to-day evidence of this form of government as it engages in decision-making. This project will provide participants with a good understanding of the American political process and the role of Congress in that process. Through this examination, participants will learn about the complexity of the system, its strengths and weaknesses, its checks and balances, and the forces that drive it for better or for worse.

The cornerstone of the program will be the Washington, D.C., segment. It will include an introductory briefing on the U.S. system of government with emphasis on the special functions of the legislative branch and how its responsibilities differ from and intersect with those of the executive and judicial branches. Participants will meet with academic experts on the Congress, lobbyists, special interest groups, and journalists to discuss their views on, and interactions with, the Congress. The program will include visits to the Congress and meetings with members and their key aides to learn about the organization of Congress and the legislative committee system. The role of special focus groups will be reviewed through visits to the women's caucus or black caucus.

The participants will hear expert analysis from Congress-watchers, such as the editors of "Roll Call" or "The Hill", of the results of the 1996 general election and of the potential impact of freshman members of the 105th Congress. A session with a member or staff director for one

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of the budget committees will focus on the role of Congress in budgetary matters, particularly regarding foreign affairs. Other sessions will inform the visitors about the essential information services provided to Congressional members through the Library of Congress and the Congressional Research Service. A staff member of one of the ethics committees will explain the internal mechanisms employed by the Congress to police its members and hold them accountable both morally and financially. Participants may also meet with a "watchdog" organization such as Ralph Nader's Congressional Accountability Project.

Following the Washington, D.C., program, the visitors will travel to geographically, economically, and politically diverse regions of the country to observe constituency operations and, wherever possible, to follow members they met in Washington in their home districts. The group will visit district offices, meet with local party officials, academics and journalists to gain insights into how local and regional issues affect national policy making, and to learn about the relationship between state and national politics and between Congress and the people they represent. Participants will observe how these relationships have been affected by the 1996 election.

A discussion of local perceptions on the questions of campaign finance reform and the role of political action committees (PACs) will also be included during a local community visit. They will also examine the issues surrounding redistricting and minority representation, as well as review the range of opinions held in constituencies regarding efforts to enact term limits for elected officials.

Home hospitality for this project will be carefully planned to ensure exposure to a variety of ethnic, political and economic groups.

## PRELIMINARY PROJECT SUMMARY

**TITLE:** THE GLOBALIZATION OF BUSINESS AND MARKETS  
**TYPE:** Multi-Regional  
**DATE:** May 1-22, 1997

**PROPOSAL DUE DATE:** FEBRUARY 4, 1997  
**CONTACTS:** PAUL KREUTZER/COLLEEN FOWLER

### PROJECT GOALS:

- To review social, political, and economic implications of globalization, including discussions of benefits and costs to developed and developing countries.
- To demonstrate practical examples of globalized businesses, markets, planning and action on the part of large and small businesses and communities.
- To discuss education, environmental, communications, free markets and democracy issues relating to globalization.

**PARTICIPANTS:** This project is designed for international business leaders; finance, trade, and development officials; community and labor leaders; and academics and journalists concerned with business issues.

**SUMMARY:** As world markets and businesses become increasingly interconnected and interdependent, national economies around the world have experienced fundamental changes in business operations. Employment, wage, communication, environmental, regulatory, trade, and finance issues are increasingly linked in the phenomenon of "globalization." Globalization and its effects are leading to new opportunities in both the developed and developing world. New questions, however, have arisen about worker dislocation, income inequality, and the environment also affect both developed and developing economies. This project will study globalization in economic and business development, reviewing causes, consequences, and current debates in meetings with businesspeople, labor and community leaders, financiers, trade and development analysts, and economists.

Meetings with large and small businesses and finance companies will review the breadth of globalization, from instantaneous world-wide capital flows to global sourcing of materials and marketing of products. Multilateral institutions will lend their perspectives on the integration of developing countries in trade and finance flows. Interested groups will discuss environmental impacts and questions on sustainable international development. Visits with community leaders will review local public-private responses to the challenges of globalization, including community efforts to attract foreign investment, retrain workers, and sustain a high quality of life in a post-industrial economy.

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Analysts with diverse perspectives will review critical questions about potentially negative effects of globalization, such as downsizing, worker displacement, divergence of educational and income classes, cultural impacts and the rise of anti-trade sentiment. The group will travel to large and small American communities to meet with businesses and workers. During team split travel, participants will have opportunities to visit diverse regions of the U.S. for comparable programs focussing on different aspects of globalization. An academic institution will host the group for discussions with business students and instructors on training a new generation of globally-minded future business leaders. Participants will have an opportunity to present their home country and professional perspectives on the subject of the project. Audiences for such sessions may include local sponsors, speakers, volunteers, and other members of the group.

The project will conclude with a synthesis session on globalization as an economic, social, and international issue. Cultural events will be scheduled to provide visitors with insight into informal aspects of U.S. society and culture.

### PRELIMINARY PROJECT SUMMARY

TITLE: ENTREPRENEURSHIP IN THE U.S.  
TYPE: Multi-Regional  
DATES: May 8-29, 1997

PROPOSAL DUE DATE: FEBRUARY 4, 1997  
CONTACTS: SUSAN LOCKWOOD/GAIL CURTIS

#### PROJECT GOALS:

- To increase understanding of the social, economic, and political factors which influence and encourage private enterprise;
- To present the U.S. economy as one developed through equal access to economic opportunity;
- To provide examples of both large and small entrepreneurial efforts in the U.S.

PARTICIPANTS: This project is designed for civic and community leaders, elected and appointed government officials, academics, and journalists with an interest in the American free market system.

SUMMARY: This project will provide both a theoretical and practical overview of entrepreneurship in the United States. Participants will study factors which affect and encourage private enterprise, including prevailing U.S. economic conditions, current Administration policy, the influence of labor and immigration, and public/private cooperation. Emphasis will be on site visits with relevant theoretical panel discussions and lectures arranged at appropriate times and places. Adequate time for intra-group discussions will be included in the Washington and national itineraries. In addition, each city segment will begin with an orientation tour to familiarize participants with the city's economic, political and social conditions which affect private enterprise. Arrangements will be made for the participants to visit a school or meet with a community group, such as the Rotary, in one or two of the cities visited.

In Washington, D.C., participants will receive an overview of the structure of American government, the history and philosophy of the American free market system, federal economic policies, and current issues in entrepreneurship and the creation of small businesses. Participants will meet with representatives from the departments of Commerce and Treasury, Congress, the U.S. Chamber of Commerce, the National Federation of Independent business, the Small Business Administration, trade associations, and think tanks, to learn about the growing importance of privatization in the U.S. economy. Appointments will be tailored to address specific economic issues and concerns relevant to the countries the participants represent. An academic specialist will give the group background on the most recent research regarding the individual psychological characteristics that contribute to successful

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entrepreneurship and discuss current theories on how to achieve business success.

Beyond Washington, the group will observe examples of successful entrepreneurial efforts in various geographic regions of the U.S. They will explore ways in which the U.S. federal, state, and local governments attempt to foster the growth of small business, including programs designed to assist women and minority group members getting started in business. The group will visit state-sponsored small business "incubators" to learn more about this example of public/private cooperation. They will discuss with the beneficiaries of such cooperation the various approaches which growth-promoting state and local programs and tax incentives take for small business development and assistance to individual entrepreneurial efforts. Since many successful businesses are often an entrepreneur's second, third, or even fourth attempt, discussions of failed efforts will also be included.

Participants will observe how the rapid growth of high-tech electronic and biotech manufacturing as well as service industries, including consulting organizations, has created opportunities for entrepreneurial endeavors. The impact of labor unions and immigration – both legal and illegal – on new businesses will also be addressed.

For a more individualized, small-group experience, the visitors will be divided into teams at some point during the course of this program. Cities equal in character and size will be visited by each team where similar aspects of the program topic will be covered. In this way, participants will have new experiences to share with their fellow colleagues when the teams reunite and have the opportunity to compare and contrast how certain subject areas were addressed in these different locations.

In community visits, the group will observe the role the university plays in developing an infrastructure in which entrepreneurship can flourish, visiting campuses where entrepreneurship is taught. The project will include a regional financial center where participants will meet representatives of major financial organizations and venture capital firms to learn about venture capital formation and financing alternatives available to entrepreneurs in the U.S.

Home hospitality with professionals in the field and ordinary Americans will provide informal settings for further discussions about everyday life, social issues, and the American approaches to dealing with them.

### PRELIMINARY PROJECT SUMMARY

**TITLE:** INTERNATIONAL SECURITY AND U.S. DEFENSE POLICIES  
**TYPE:** Multi-Regional  
**DATES:** May 15-June 5, 1997

**PROPOSAL DUE DATE:** FEBRUARY 4, 1997  
**CONTACTS:** JANET BEARD/AZZA ZAKI

#### PROJECT GOALS:

- To review current U.S. perspectives on international security and defense issues and describe principles and theories developed by leading scholars and foreign affairs professionals on the interaction of international security, defense and global issues.
- To familiarize participants with the institutions, structures, and process of U.S. security and defense policymaking, and develop an understanding of domestic and international considerations affecting foreign policy formulation;
- To meet with governmental policy-makers, independent analysts, and scholars of international affairs in academic, analytic, and non-governmental organizations.

**PARTICIPANTS:** The project is designed for mid-level defense and security government officials, military officials and analysts, and scholars concerned with security, strategic, and foreign policy issues.

**SUMMARY:** This project will examine American defense and international security decision-making from the perspective of government officials and will incorporate the views of foreign policy organizations. The project will review the long-term interests, threat analyses, and force structure and protection considerations which motivate U.S. security policies, and study the decision-making process with officials and analysts of international security affairs . Participants will study U.S. defense resources and capabilities, as well as the interaction of defense and foreign policy institutions at the Executive and Congressional level. Meetings will be scheduled at the National Defense University, the House International Security Committee, the Senate Armed Services Committee and the National Security Council. Leading analysts and critics of U.S. policy will present their views on current international and regional security questions, including multilateral peacekeeping, the role of NGOs, and examples of recent crisis management.

Washington, D.C. appointments will highlight government and non-governmental organization [NGO] security institutions. The group will meet representatives from foreign affairs agencies

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active in policy implementation, such as State, AID, USIA, Defense, Arms Control and Disarmament Agency. Area experts will present case-studies of recent international intervention and mediation efforts and current security priorities such as forces re-alignment, counter-proliferation, economic security, international crime, terrorism, peacekeeping and humanitarian missions. State Department meetings will review appropriate bureau perspectives on global issues, political-military affairs, and international security and arms control.

Defense Department discussions will emphasize U.S. capabilities to respond to crises and requests for defensive or humanitarian assistance, and include debates over proper employment and structure of U.S. forces. Congressional meetings will review Congress's budgetary and policy oversight roles in both cooperation and competition with the Executive Branch over defense, international, and intelligence affairs. Journalists will address the impact of politics and elections on foreign policy. Appointments with NGOs such as the Cato Institute, Heritage Foundation, or Center for Defense Information, as well as Brookings, CSIS, the Wilson Center, or U.S. Institute for Peace, will include diverse and competing viewpoints on U.S. security priorities. Discussions will highlight the role of "think tanks" in developing policy options outside of government.

Outside of Washington, the group will travel to large, medium and small communities in geographically diverse areas of the country. Participants will have opportunities to exchange ideas with journalists, local political leaders, veterans' groups, and academic specialists to gain insights into the domestic forces that influence national security and defense policy. The group will divide into teams to visit sites specializing in different aspects of security studies, for example: international security and arms control; economic and regional security studies; and conflict resolution and democratization. The role of academia in supplying administrations with innovative international security perspectives will also be examined. University appointments will emphasize interactive dialogue opportunities among visitors and the host institution. Speakers with government, military, community, and defense industry backgrounds will discuss economic conversion concerns. As appropriate, the group will visit a military base with a role in U.S. overseas deployment readiness to witness firsthand the resources available for U.S. policy implementation.

The itinerary will include New York in order for participants to meet with U.S. and United Nations officials to learn more about the potential for collective security arrangements. In New York City, the group will study UN-sponsored humanitarian efforts, negotiations, and reforms. UN policy analysts will discuss debates over UN peacekeeping resources and changes in Security Council representation. The group may meet representatives of democratization and human rights organizations.

Opportunities for home hospitality with ordinary Americans and attendance at a variety of cultural events will be incorporated into the program.

## PRELIMINARY PROJECT SUMMARY

**TITLE:** INDEPENDENT JUDICIARY  
**TYPE:** Multi-Regional  
**DATES:** May 29-June 19, 1997

**PROPOSAL DUE DATE:** FEBRUARY 4, 1997  
**CONTACT:** COLLEEN FOWLER

### PROJECT GOALS:

- To familiarize participants with the principles of the U.S. judicial and legal systems, particularly the separation of powers, the federal courts and the operations of state and municipal courts;
- To deepen understanding of current trends in American federalism and devolution, the administration of courts and justice policies in the U.S.;
- To discuss court management, continuing legal education, civil and criminal justice and law enforcement in the U.S.

**PARTICIPANTS:** This project is intended for members of the judiciary and legal professions who would benefit from enhanced understanding of the American judicial and legal system. Community leaders, law professors, constitutional scholars, justice ministry officials and journalists who cover the courts and other legal issues are also invited.

**SUMMARY:** This project will explore the role an independent judiciary plays in a democracy. Highlights will include a visit to a judicial training institution such as the National Judicial College in Reno, Nevada, or the National Center for State Courts in Williamsburg, Virginia.

The program will begin in Washington, D.C., with an introduction to the principles underlying American jurisprudence such as due process, human rights, constitutional protection and the federal structure of the U.S. judicial system. It will include an overview of U.S. society and current legal trends. Participants will meet with representatives of the executive, judicial and legislative branches of the U.S. Government. Initial briefings/orientation will be held at the Federal Judicial Center and the Administrative Office of the U.S. Courts. Subsequent meetings will include visits to the Department of Justice, the U.S. Supreme Court, the House and Senate Judiciary Committees and other private and governmental organizations concerned with issues relating to the Rule of Law. Topics for meetings will include how a bill becomes a law; jurisdiction of federal courts; role of U.S. Attorneys; state court systems, the impact and objectives of new anti-crime and sentencing guidelines legislation; anti-terrorism statutes; nominations of federal judges and judicial ethics.

The delegation will divide into smaller groups to travel to geographically diverse cities in the

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U.S. where participants will observe the process of the American justice system and the application of legal concepts. Small-team travel will focus on the specialized fields in the judicial and legal professions and allow for in-depth exchanges of ideas with U.S. counterparts. "White-collar" and "high tech" crime, including corruption, embezzlement and just workplace issues will be addressed.

Day-long shadowing of an American colleague will be arranged in the team cities. Meetings will include members of the local judiciary, government and private attorneys and legal scholars. During a visit to a law school, the participants will have the opportunity to attend programs that focus on a variety of legal issues and will also discuss current trends in legal education curriculum development. During the project, the group will see various stages of a case, from police operations through indictment, trial, sentencing, incarceration and appeal.

The group will travel to a major city which offers a large and diversified concentration of judicial and academic resources, such as Denver, Colorado, or San Francisco, California. State and local judicial authority and selection of judges will be studied in a state capital city. Meetings in the final city will summarize the U.S. judicial experience in terms that are transferable to a variety of legal circumstances abroad and allow participants to explore areas of specific interest in their profession.

Individual and sub-group appointments will be arranged in areas of particular interest. Judicial associations, computer information networks and media aspects of judicial matters may be covered. Social and cultural events will be offered throughout the project.

### PRELIMINARY PROJECT SUMMARY

TITLE: INVESTIGATIVE REPORTING IN THE U.S.  
TYPE: Multi-Regional  
DATES: June 5-26, 1997

PROPOSAL DUE DATE: MARCH 4, 1997  
CONTACTS: MARGERY BENSON/GAIL CURTIS

#### PROJECT GOALS:

- To outline the role of responsible investigative journalism in informing the public about breaking issues in government, local communities, business, environment, and society;
- To review the impact of the investigative press and journalism institutions on elections, voting, and attitudes toward government;
- To develop an understanding of the values and ethics which underlie investigative journalism;
- To examine the effects of investigative journalism on U.S. history, current politics, and society.

PARTICIPANTS: This project is intended for working reporters from print, TV, and radio; news analysts; information researchers, legal and ethics experts, and decision-makers; and instructors of journalism, media, and communications.

SUMMARY: Investigative reporting is a definitive tradition of American independent journalism. American history and societal development has been influenced by investigative revelations from colonial times onward. The freedom to conduct and publish investigations is essential to American freedom of speech and the press under the First Amendment. This project will introduce participants to current American investigative journalism, ongoing debates about ethics, accuracy, and journalistic integrity, regulations governing access to government information, and the intertwining of popular investigative journalism and entertainment.

In Washington, DC, participants will study political investigations and the perceptions and priorities of Washington-based domestic and foreign press. A primary theme will be how investigative journalists interact with various centers of influence, such as the White House, Congress, political leaders, the bureaucracy, and the media itself. Attempts to "spin" the media by the competing Congressional and White House parties will be studied. Questions about journalists' roles in political confirmation and investigation hearings will be discussed. Items such as confidentiality of sources, briefings on background by high administration officials, Sunday talk-shows and active leaking as a means of floating or fighting policies will be examined. The importance and use of the Freedom of Information Act will be explained.

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Appropriate USIA media facilities will be visited. The participants will have opportunities for individual professional appointments, and will take part in discussions with prominent journalists.

Throughout the project, participants will have opportunities to explain their interests to fellow group members, appropriate American audiences, and exchange views about ongoing press investigations during their visit. The project will expose participants to a variety of investigative reporting forums, ranging from major newspaper and TV operations to public interest advocacy groups and issues aired on public and talk-show radio. The group will learn about resources available through world-wide computer networks and multi-media communications.

The group will participate in the National Conference of the Society of Investigative Reporters and Editors (IRE), in Phoenix, Arizona, June 12-17, which hundreds of U.S. journalists, editors, and faculty are expected to attend.

The itinerary will include a team-city split featuring opportunities for job-shadowing or independent study of a topic of local or professional interest. At a university school of journalism, participants will learn about ethics training, career development, and explore student journalism investigations of campus issues such as political correctness or tuition and spending debates. Meetings will include sessions with students interested in international journalism issues.

The project will close in a major city with a strong journalistic tradition. The group will study the historical evolution of city newspapers and their role in urban politics, corruption and crime, community development, and immigrant education and socialization. Participants will meet with a leader in the journalism field for a final "synthesis" discussion of trans-national media priorities, commitment, support, and conduct of independent investigative reporting.

Opportunities for home hospitality and attendance at a variety of cultural events will be incorporated into the program.

## PRELIMINARY PROJECT SUMMARY

**TITLE:** INTERNATIONAL ENVIRONMENTAL ISSUES  
**TYPE:** Multi-Regional  
**DATES:** June 19-July 10, 1997

**PROPOSAL DUE DATE:** MARCH 4, 1997  
**CONTACT:** AZZA ZAKI

### PROJECT GOALS:

- To examine significant transnational environmental issues and the United States' involvement in bilateral and multilateral efforts to address them;
- To explore the international political and economic implications of global environmental problems and the proposed solutions;
- To provide an understanding of American environmental policy and to review how its principles are applied to global concerns.

**PARTICIPANTS:** This project is designed for decision-makers in government, industry, environmental organizations, academia, and the media who are involved with environmental issues and policy.

**SUMMARY:** In an April 1996 speech, the Secretary of State announced the State Department's intention to "put environmental issues where they belong: in the mainstream of American foreign policy." Recognizing that "environmental forces transcend borders and oceans to threaten directly the health, prosperity, and jobs of American citizens," the Secretary has portrayed the strong relationship between environmental concerns and U.S. political and economic objectives. The Department of Defense has become increasingly attentive to the environmental degradation and the scarcity of resources that can contribute to conflict and instability around the world.

Environmental concerns have come to play an increasingly important role in all aspects of U.S. foreign policy-making, from defense and security policies to trade negotiations. This project will demonstrate the United States' recognition of the tremendous impact environmental problems have on the quality of life for people around the world dealing with transborder challenges presented by global climate change, pollution, overpopulation, deforestation, loss of biodiversity, and competition for dwindling resources.

Appreciation of the role that preservation of the global environment plays in maintaining national security and well-being have led both the State and Defense Departments to create special offices focusing on the need for sensitivity to environmental questions in conducting foreign relations. In Washington, DC, the participants will meet with the Department of State's Under Secretary for Global Affairs and the Office on Oceans and International

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Environmental and Scientific Affairs to discuss the initiatives for government leadership in addressing global environmental problems and their interest in working in partnerships with other countries as well as with businesses and NGOs. At the Department of Defense, visitors will meet with the Office of the Deputy Under Secretary of Defense for Environmental Security to review their role in addressing security and defense activities as they relate to the environment. The group will also examine their cooperative efforts with other U.S. government entities such as the Strategic Environmental Research and Development Program with the Department of Energy. Bilateral and trilateral cooperative programs with other countries, like the Arctic Military Environmental Cooperation program with Russia and Norway, will be explored at both the State and Defense Departments.

In Washington and in other appropriate cities, the participants will review American policies involving the establishment and enforcement of environmental regulations and the effects of GATT and NAFTA trade agreements. Issues surrounding sustainable development will be presented by an office, such as the Environmental Sustainable Development Department at the World Bank, which can describe incentive programs, debt-for-nature swaps, and technical assistance programs like the Global Environmental Facility.

The role of science organizations in achieving cooperative solutions, including the use of international science and policy symposia, will be explored through meetings with organizations such as the National Academy of Sciences, the American Association for the Advancement of Science, the National Science Foundation and the U.S. Global Change Research Program.

During the program, the participants will be given an opportunity to see innovative ways that governments, business and industry, and non-governmental organizations have worked together to address international environmental problems. This case study approach will allow participants to observe the process of cooperation through the planning and implementation stages. At a U.S. border city, the group will explore the ways that transborder disputes, such as those surrounding pollution control or resource allocation, have been handled by local authorities.

The visitors will have home hospitality and cultural events included in their program, as well as a visit to a state or national park.

## PRELIMINARY PROJECT SUMMARY

TITLE: THE U.S. FINANCIAL SYSTEM  
TYPE: Multi-Regional  
DATES: June 26-July 23, 1997

PROPOSAL DUE DATE: MARCH 4, 1997  
CONTACTS: PAUL KREUTZER/COLLEEN FOWLER

### PROJECT GOALS:

- To study U.S. financial markets in their global and domestic contexts and explain U.S. perspectives on international economic and monetary issues;
- To explain U.S. programs that encourage U.S. investment in emerging markets and that assist developing country markets;
- To study transferable American experiences in banking, private and public sector financing, regulatory institution development, and academic analysis of market economy conditions.

PARTICIPANTS: This project is designed for entrepreneurs, investment analysts, bankers, Chamber of Commerce officials, scholars, government finance and trade officials, and journalists concerned with finance, business, public policy and economics.

SUMMARY: As market-oriented economies develop around the world, U.S. financial markets represent both a model for business development and a potential source of funding for important privatization efforts and jobs creation initiatives. This program will provide information on U.S. financial market operations as well as information on the banking system, project finance, privatization, and provisions to assist and reform developing country markets.

In Washington, D.C., meetings will focus on federal institutions, policies, and regulatory structures, introduced by a speaker who will review the structure of U.S. financial institutions, issues, and current reforms. Participants will meet with officials in governmental departments, agencies, councils, and federal corporations concerned with finance issues. The group will hear perspectives from financial associations and lobbying groups. A visit to the Securities and Exchange Commission will review its role in the development of U.S. capital markets, corporate financial accountability, and assisting new securities markets overseas. Discussions on Capitol Hill will review Congressional financial concerns, current regulatory and reform legislation, and federal budget procedures.

The group will meet with the Agency for International Development to discuss U.S. foreign assistance policies, and the Overseas Private Investment Corporation for information on programs to insure and encourage U.S. investment in emerging markets. At the World Bank and International Monetary Fund, participants will review multilateral perspective and policies on development. Diverse and competing views of international and domestic economic

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policies will be included. Associations and NGOs will address topics of particular concern, such as debt-development-environment issues, the globalization of capital markets, the World Trade Organization accords, and multinational enterprises.

New York appointments will introduce the group to major players in global financial markets. The group will visit stock exchanges, investment banks, specialized financial institutions, regulatory offices, and information services. Special topics for the group will include activities and regulation of foreign institutions in the United States, debt-equity swaps, and the effects of U.S. investment in emerging markets. A visit to a credit-rating agency will introduce the role of such agencies in evaluating public and private sector debt issues, and discuss the influence of reliable credit information on domestic and international investment decisions. The group will visit business information and journalism institutions to observe the media's role in researching and evaluating market data.

The group will travel to various regions of the United States, together and in small teams, to see examples of relevant U.S. experience in aiding small and medium enterprise development, urban redevelopment, job creation, innovative municipal finance strategies, investment of local public treasury and pension funds, and efforts to attract financial service industries.

Regional offices of the Federal Reserve and other federal and state bureaus will be studied in the context of regional economic considerations. Representatives from major commercial banks will describe their lending practices, international goals, market focus, and developments in retail and wholesale banking, including the effects of recent changes in banking laws to permit multi-state and multi-product financial services. Community bank and credit union representatives will discuss local banking issues. Participants will learn about the role of public policy in encouraging fair financing opportunities in lower-income communities, including the impact of Fair Lending and Community Reinvestment legislation and local government initiatives.

During group visits to analytic institutions, scholars of business, public policy, and economics will discuss factors affecting stability in international economic relations, and how market economics and privatization contribute to economic development. Seminars will provide participants with practical information on confidence-building measures to attract foreign capital, and study changing U.S. domestic savings and investment patterns and mutual funds. Participants will have an opportunity to present their home country and professional perspectives on the subject of the project. Audiences may include local sponsors, speakers, volunteers, and other members of the group.

The program will include opportunities for diverse American cultural events and home hospitality.

## PRELIMINARY PROJECT SUMMARY

**TITLE:** INTERNATIONAL CRIME ISSUES  
**TYPE:** Multi-Regional  
**DATES:** July 10-31, 1997

**PROPOSAL DUE DATE:** APRIL 1, 1997  
**CONTACTS:** JANET BEARD/AZZA ZAKI

### PROJECT GOALS:

- To provide an understanding of the American criminal justice system and to review how its principles are applied to the prosecution of international crime;
- To examine significant transborder issues related to criminal activities that are global in scope, such as drug trafficking and international terrorism;
- To review U.S. efforts to deter international crime and the cooperative procedures that have been established or proposed for working with other countries to combat crime.

**PARTICIPANTS:** This program is designed for government officials, law enforcement officials and criminologists, prosecuting and private attorneys, academicians, journalists, and other professionals who deal with international crime.

**SUMMARY:** Recent encounters with international terrorism and drug trafficking on U.S. soil have made American citizens and law enforcement officials aware of the need more than ever to increase international cooperative efforts to counter these threats to civil society. This program will look at these and other transnational crimes and will examine the structure of the U.S. criminal justice system and how it applies to international issues. As international cooperation is required to prevent and control transnational crime, the participants in this project will have numerous occasions to address the most pressing international crime issues and the United States' unilateral, bilateral, and multi-lateral approaches to dealing with them.

The project will open in Washington, D.C., to give participants an overview of federal law enforcement institutions. Briefings will introduce federalism and the American legal and judicial structure. At the Departments of Justice and Treasury, the group will meet with officials from Interpol's United States National Central Bureau, the Federal Bureau of Investigation, the Drug Enforcement Administration, the Bureau of Alcohol, Tobacco and Firearms, the U.S. Secret Service, and the U.S. Customs Service. They will meet with regional offices of these agencies in other parts of the country. In addition to providing background information on the agencies' operations and their cooperation with one another, these meetings will focus on current and proposed initiatives developed by U.S. law enforcement personnel to combat international crime. If possible, roundtable discussions on key topics, such as organized crime, money laundering, and drug trafficking, will be arranged with representatives of the appropriate agencies noted above plus the Department of State and

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the Central Intelligence Agency.

Law enforcement officials at the federal, state, and local levels, academicians, criminologists, and attorneys will meet with the group to discuss terrorism, the illicit arms trade, drug trafficking, money laundering, corruption involving public officials, and organized crime. The visitors will also discuss economic crimes; intrusions into government, financial, and medical computer systems; industrial espionage; pirated products, including software; pirating of intellectual property; and financial and corporate fraud.

In order to demonstrate the current strategies effective in dealing with international crime, the program will feature a case study of an international law enforcement operation that showcases the process of identifying targets, securing cooperation from international law enforcement agencies, gathering evidence, and arresting and prosecuting the offenders. The participants will look at how improved relations and technical cooperation could make the extradition process more effective by facilitating the apprehension and prosecution of offenders.

Small, medium, and large cities will be included in the national itinerary. Sites will be selected for their innovative law enforcement strategies. In addition to reviewing transnational crimes, participants will explore the U.S. criminal justice system at work through meetings with politicians, police officers, task forces, and regional offices of federal agencies, as well as with prosecutors, judges, and corrections center personnel to learn how each one functions and contributes to the system. The group will visit the National Drug Intelligence Center in Johnstown, Pennsylvania. Each participant will have the opportunity to shadow an American counterpart on the job for one or two days.

The group will also observe criminal court proceedings and visit a crime lab to learn about the latest research and development in anti-crime technologies. Law enforcement and criminology education will be featured at an appropriate academic institution. Participants will also explore the role of the mass media in crime prevention education by raising public awareness and sharing practical experiences. Several occasions will be arranged for intra-group discussion on crime issues and for visitors to share their experiences in their home countries. Several communities included in the program will provide home hospitality.

### PRELIMINARY PROJECT SUMMARY

TITLE: CIVIC JOURNALISM: INFORMING THE PUBLIC DEBATE IN A  
DEMOCRACY  
TYPE: Multi-Regional  
DATES: July 24-August 14, 1997

PROPOSAL DUE DATE: APRIL 1, 1997

CONTACTS: JANET BEARD/COLLEEN FOWLER

#### PROJECT GOALS:

- To define the concept of civic journalism, understand its purpose, observe the practice of civic journalism, and determine its effect on the community it serves;
- To examine the circumstances of apathy and detachment from politics, the community, and the media that have given rise to the civic journalism movement;
- To provide participants with ideas they can implement at home to foster an informed public debate of civic issues;
- To expand Civitas, the international network formed to strengthen civic education and constitutional democracy around the world.

PARTICIPANTS: This project is intended for journalists and editors, civic educators, academics, community leaders, and government officials interested in encouraging greater citizen participation in politics and community affairs.

SUMMARY: Civic journalism, the involvement of news outlets in reporting news in the name of civic improvement, is a concept that has only been in use for less than a decade but that is garnering a great deal of support and attention across the country. As newsrooms become more involved in not only reporting the news but actually shaping it – by gathering citizen focus groups to ask what news they need, by sponsoring town meetings to address local concerns, or by soliciting public comments from the voters as well as the candidates – the hope is that citizens will become better informed and more interested as well as involved in politics and community affairs.

By participating in this project, visitors will gain a sense of the role media can play in the effort to improve civic education in a democracy. The group will attend meetings with Civitas partner organizations, such as the American Federation of Teachers Educational Foundation, the Center for Civic Education, the Council for Citizenship Education, and the Mershon Center of the Ohio State University, to learn about civic education in the United States.

Two of the key organizations in the civic journalism (also called public journalism) movement, the Pew Center for Civic Journalism and the Poynter Institute for Media Studies, have

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articulated its objectives. "Civic journalism seeks to bridge the dangerous detachment from community that has become the norm in too many newspapers. It encourages journalists to discover how their work can be improved by first acknowledging the detachment, then reaching out to citizens as sources and resources, thus bringing citizen voices and ideas to the foreground."

In order to first examine the environment of disengagement in the U.S. that has led to the development of this movement, participants will meet with sociologists, journalists, and political scientists. A briefing on the history of the press will be provided. In Washington, D.C., they will talk with the Pew Center for Civic Journalism to review the theory of civic journalism and explore the Center's role in sponsoring this work. They will also meet with other organizations that have become involved in the movement such as the Freedom Forum and the League of Women Voters. The work of others who are vocal advocates of civic journalism, such as Jay Rosen and Arthur Charity of the Project on Public Life and the Press, U.S. News and World Reports editor James Fallows, and Davis Merritt of the Wichita Eagle, will also be reviewed.

The participants should also discover the arguments that have been put forth against civic journalism by such editors as Leonard Downie, Jr., of the Washington Post, and John G. Craig, of the Pittsburgh Post-Gazette, who note that, at best, it is not within the scope of responsibility of newspapers and, at worst, it puts journalists in the position of making the news rather than simply reporting it.

The director of communications at the Kettering Foundation in Dayton, Ohio, has agreed to host a two to four-day seminar during the week of August 4 to survey the history and current status of the civic journalism movement and to discuss its practice with visiting journalists.

In each of two small and mid-size cities of the nation that have conducted projects in civic journalism, the visitors will be presented with case studies of how the city -- its newspaper editorial staffs, television and radio station managers, community leaders, public officials, citizens who are the beneficiaries -- conceived, implemented, and is evaluating an effort at civic journalism. The programs in these cities should showcase two different approaches: one will analyze the impact of civic journalism on "getting out the vote" and in countering negative campaigning in the previous year's election and the other will focus on a community problem. In a department of journalism at a university, the visitors will have the opportunity to discuss the position of academics toward the civic journalism movement as well as other changes in the field of journalism.

The participants will have home hospitality with a broad range of American citizens.

## PRELIMINARY PROJECT SUMMARY

**TITLE:** U.S. TRADE POLICIES  
**TYPE:** Multi-Regional  
**DATES:** July 31-August 21, 1997

**PROPOSAL DUE DATE:** APRIL 1, 1997  
**CONTACTS:** SUSAN LOCKWOOD/GAIL CURTIS

### PROJECT GOALS:

- To foster a better understanding of U.S. trade interests and of the American economic system;
- To examine current U.S. efforts, at the federal, state, and local levels, to increase American competitiveness in the global marketplace;
- To illustrate the role of the U.S. in international trade arrangements such as the WTO, NAFTA and APEC;
- To clarify U.S. trade policies, with emphasis on U.S. goals and their relationship to domestic political, economic, social, and cultural factors.

**PARTICIPANTS:** This project is designed for economic and trade specialists, policy planners, business people and entrepreneurs, legal specialists, academics and economic journalists.

**SUMMARY:** Participants will explore a variety of U.S. perspectives on trade by meeting with business, government, labor, academic, and media representatives.

The project will begin in Washington, D.C., where participants will gain perspective on the American government and economy. The participants will meet with key U.S. institutions such as the Small Business Administration, Export-Import Bank, and Overseas Private Investment Corporation. These institutions will address trade finance, diversification and risk management in U.S. trade. A meeting with World Bank or IMF representatives will review multilateral views on trade and development.

On Capitol Hill, a meeting with Congressional policy-makers and analysts will demonstrate the critical role of Congress, including its authority and attitudes, towards trade policy. The concepts of "fast-tracking" and "most favored nation" status will be reviewed and clarified.

Meetings at the Department of State, the Department of Commerce, and the Office of the U.S. Trade Representative will highlight current U.S. trade policies and programs. A meeting with journalists or political analysts will discuss directions in trade policy in the new presidential and congressional term, and the interplay of domestic and international influences on trade policy. Representatives of private organizations representing industry, organized labor, and

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economic analysis will provide additional perspectives on U.S. trade policies. The role of trade in America's strategic relationships and interests around the world will be discussed by analysts of international affairs.

After Washington, D.C., participants will visit diverse areas of the U.S., including a team split to smaller cities, to study regional resources and views of trade. Trade sectors to be addressed in meetings and site visits will include agriculture, energy, high technology, telecommunications, and manufacturing. Meeting with local and state governments, participants will examine variations in the economies of different states, and the approaches used by states to attract international investment. Discussions with local business people will shed light on the impact which various trade policies have had on their businesses and communities. Leading regional banks will discuss their international trade and export finance programs, and their relationships with both U.S. and foreign firms.

In the cities visited, topics will include the benefits and costs of international trade agreements; globalization; urban revitalization and enterprise zones; intellectual property rights; protectionism; and the enhancement of small business and minority business opportunities through internationalization.

The group will visit a major university offering programs in international business and trade, where the group will exchange perspectives with students and professors regarding education for managers in the new global economy. Participants will have an opportunity scheduled to present their home country and professional perspectives on the subject of the project. The session audience may include local sponsors, speakers, volunteers, and members of the group. The project will conclude in a major U.S. city with strong international information resources and trade relationships.

Home hospitality will be included to provide first-hand, informal exchanges with Americans interested in international trade.

## PRELIMINARY PROJECT SUMMARY

**TITLE:** THE GLOBAL INFORMATION HIGHWAY  
**TYPE:** Multi-Regional  
**DATES:** August 7-28, 1997

**PROPOSAL DUE DATE:** MAY 7, 1997  
**CONTACTS:** PAUL KREUTZER/COLLEEN FOWLER

### PROJECT GOALS:

- To introduce participants to technology, resources, government and corporate players, and consumer uses of the evolving Internet, telecommunications, and information superhighway;
- To review activities of major players in the information revolution; software companies; governmental regulators; telecommunications and entertainment companies; educational institutions; and consumer and public interest groups;
- To study uses of the information highway for businesses, educational institutions, and businesses to facilitate communication.

**PARTICIPANTS:** This project is designed for technology industry businesspeople, engineers, and regulators; educators and journalist observers of technology and culture; and entrepreneurs active in developing information systems and resources.

**SUMMARY:** This project will introduce participants to the evolving "global information highway" in the U.S. and the connections it offers between diverse sectors of the economy and society and among users world-wide. Participants will experience the uses of Internet and on-line communications resources through visits to information systems companies, schools, media organizations, and government offices. The project will feature debates about future directions and new issues of the information age, and will include opportunities for direct participation in electronic forums.

The focus of meetings in Washington, DC, will be on government roles in electronic communications development and regulation, governmental services, and information highway resources in the region. A meeting at USIA will demonstrate on-line products and services for international information. A Congressional meeting will review telecommunications regulation and the uses of the Internet for political leaders. The group will visit major communications businesses in the area, such as AOL, MCI, Lexis-Nexis, or others, to meet with developers and managers of information systems. The Federal Government's use of Internet information sites will be demonstrated to the group.

Implications of an increasingly borderless information flow will be examined by legal experts and freedom of information advocates, reviewing control over undesirable information and information access by disadvantaged citizens and groups. A visit to a media institution will

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show how electronic communications are changing the roles of print and broadcast media.

The group will visit a large city noted for its high-tech industries, to meet with business, software manufacturers, engineers, and media to discuss global information resources and future trends. Changes in society and Internet sub-cultures will be discussed with scholars of sociology and science history. A seminar discussion will focus on global information and changes in business operations. Educational uses of the Internet will be studied at universities and public school systems.

Participants will have an opportunity to present their home country and professional perspectives on the subject of the project. Audiences for such sessions may include local sponsors, volunteers, students, and other members of the group project.

Visits to smaller cities, such as Blacksburg, VA, will focus on how local communities utilize the Internet to provide services and opportunities to citizens. A discussion on "electronic democracy" will highlight how citizens may become more well-informed participants in public affairs. To participate in the "global information highway," the group will have access to Internet discussion sites during their visit. The project conclusion will include a discussion on building international participation in the global information highway. Cultural events and informal meetings will be included in the program.

## PRELIMINARY PROJECT SUMMARY

TITLE: BUILDING DEMOCRACY IN DIVERSE COMMUNITIES  
TYPE: Multi-Regional  
DATES: August 14-September 4, 1997

PROPOSAL DUE DATE: MAY 7, 1997  
CONTACTS: JANET BEARD/GAIL CURTIS

### PROJECT GOALS:

- To provide a greater understanding of the democratic form of government in the U.S. and how it fosters common values across diverse communities;
- To emphasize the strength which cultural diversity brings to American society and government;
- To illustrate the broad range of opinions held by Americans and how they are distilled through the democratic process to arrive at mutually acceptable policies and programs;
- To observe the impact that immigration has had on demographic shifts in the U.S., with regard to the changing needs in and responses by the American workforce and the public schools.

PARTICIPANTS: This project is designed for civic and community leaders, local government officials, social workers, educators, sociologists, cultural historians, and journalists with a substantive interest in the government and culture of the U.S.

SUMMARY: The American populace descends from a wide variety of ethnic and national backgrounds and observes a vast range of religious and cultural customs. Yet the success of the democratic form of government as practiced in the U.S. requires that interest groups concentrate on their commonalities of interest rather than divergences of preferences in order to achieve policies and regulations which are palatable to all.

This project will allow participants to explore how communities of common interest are created across groups of apparently different backgrounds and focus on how American groups actively work through the political system to define and achieve mutual interests, eliminating barriers and reducing strife among various elements of the U.S. population. Additionally, the project will address the historic development of the U.S. as a nation of immigrants and haven for the disenfranchised, while delineating the acculturation process which leads to a shared identity.

In Washington, DC, meetings with national political parties, academics, and think tank specialists will center on factors that shape the participatory nature of democracy in a pluralistic society. At the national headquarters of selected special interest groups, participants

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will learn the impact that local and regional outlooks have on national policy-making as well as about the philosophy and techniques of citizen action groups, including those related to coalition-building, fund-raising, lobbying Congress and other government officials, and to drafting legislation.

By visiting different geographic areas of the U.S., participants will become familiar with the historical, religious, ethnic, and other social features that somehow combine together to form one country. Participants will observe the balance achieved between cultural assimilation and maintaining ethnic distinction by many immigrant populations. Topics to be explored will include the African-American, Hispanic, Slavic, Asian, and Native American experiences and their relationship to the larger society, as well as organizations that help maintain ethnic identity, demographics, and the legal bases for equal rights and their protection.

Through case studies, participants will observe examples of diverse groups which have come together through both political and social processes to restore or preserve the peace and harmony and promote development of their shared communities, such as African-American and Hasidic Jews in the Washington Heights section of New York City or Asian-Americans and African-Americans in south Los Angeles. Participants will also learn how the U.S. education system leads to shared values and traditional beliefs while preserving respect for our separate cultural identities. Lessons derived from conflict resolution techniques will be included.

In small communities located in diverse economic regions of the country, participants will meet with a wide variety of grassroots organizations to observe the extensive range of ways in which American citizens can become involved in the political process and advocate their particular cause or viewpoint. Community efforts to encourage voter registration and voter education will be addressed. Attendance at public hearings will illustrate how community disputes are handled at the local level and help prevent small conflicts from escalating into much larger issues. Additionally, local leaders of demographic groups such as AARP, the NAACP, and the National Organization of Women will describe their activities which promote policies beneficial to their members.

In an area/city with a sizable immigrant/refugee population such as California or Texas, the program will focus on how the community is addressing issues such as English language and job training, and other forms of community assistance. In school visits participants will observe how the education system is absorbing new populations and preparing them for political participation as it is also educating and sensitizing the established community to understand and appreciate the cultural differences and contributions of their new neighbors. Presentations at local schools by the project participants, highlighting their own countries and cultures, will be arranged.

Home hospitality will be a major component of the project.

### PRELIMINARY PROJECT SUMMARY

**TITLE:** RADIO BROADCASTING IN THE U.S.  
**TYPE:** Multi-Regional  
**DATES:** September 11-October 8, 1997

**PROPOSAL DUE DATE:** JUNE 3, 1997  
**CONTACTS:** MARGERY BENSON/AZZA ZAKI

#### PROJECT GOALS:

- To promote a better understanding of the history, structure and functions of radio broadcasting in the U.S.;
- To examine the role of radio communications in the U.S. in promoting community development and in protecting democratic institutions;
- To review the philosophical and legal commitments to the freedom of expression and the influence of these commitments on U.S. international communication policies.

**PARTICIPANTS:** This multi-regional project is designed for mid-level radio producers, programmers, editors, writers, announcers and administrative personnel. This project is not intended for working journalists.

**SUMMARY:** This project is designed to encourage responsible and independent journalism while providing an opportunity to upgrade technological knowledge and journalistic skills. It will consist of visits to a wide variety of radio stations in the U.S., including commercial, public, religious, national, and local stations as well as attendance at an NAB conference. Participants will discuss broadcasting regulations and journalism ethics, observe programming, news gathering, interviewing and production techniques, and discover the technological impact on radio broadcasting in the U.S. Additional topics for discussion will include programming and production of news, current affairs and features programs, sports coverage, radio talk shows, cultural and music programs, religious programs, and programs for children.

The project will feature a "shadowing" or "individual research" experience which would place participants in a radio station for a day. A participant might be paired with an American colleague with similar responsibilities or, if appropriate, have the opportunity to work with several members of the station staff for an overview of the daily operation. To facilitate the "shadowing" placements, this project will be limited to twenty participants.

The project will open in Washington, D.C., with panel discussions by noted scholars and public officials on the function and responsibilities of the media in a democratic society, U.S. international communications policies, and the historic role of radio broadcasting in American society. The participants will also have an in-depth discussion on the First Amendment and the

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U.S. commitment to a free press. A general overview of American society, particularly its demographic makeup, will be incorporated into the opening week. Participants will meet with officials at the Voice of America, the Foreign Press Center, Accuracy in Media, the Public Broadcasting Service, and the Washington bureaus of major radio stations. They will attend an executive branch press briefing [DOD, State, or White House] and visit the Congressional press gallery to observe radio coverage of the Federal Government.

The program outside Washington will include team city splits to facilitate the shadowing experience and to focus on specific professional interests [e.g. news directors, station managers, or music programmers]. Team sites will include medium and small cities for participants to explore the role of radio broadcasting in community development, the relationship between broadcasting and local government, and the impact of radio in rural communities. In addition, visitors will have opportunities to meet with journalism students in the classroom, with civic or professional groups, or with high school students interested in international affairs or communications.

Participants will attend the "Radio Show" sponsored by the National Association of Broadcasters [NAB], September 17-20, in New Orleans, Louisiana. The NAB anticipates about 5,000 attendees at this longest-running radio convention, which includes a conference and exhibition. Participants will hear from experts on management, sales, marketing and technology in every phase of radio operations.

A visit to an academic setting will provide dialogue on computerization in the radio industry, audience research, marketing and advertising, and fund-raising for nonprofit radio stations. Other lectures and workshops throughout the program will include radio broadcasting as a business, liability to libel, professional standards in journalism, station management, the free flow of information, and the impact of technology. A review of other media and radio's role in relation to television and newspapers will be covered.

The phenomenon of talk-radio's growth will be assessed as participants are exposed to the diversity of socio-political perspectives expressed in this medium. Home hospitality and attendance at a variety of cultural and social events will be arranged to provide opportunities for participants to engage in further discussions about American culture and society in informal settings.

## PRELIMINARY PROJECT SUMMARY

TITLE: DECISION-MAKING IN U.S. FOREIGN POLICY  
TYPE: Multi-Regional  
DATES: September 18-October 9, 1997

PROPOSAL DUE DATE: JUNE 3, 1997  
CONTACTS: SUSAN LOCKWOOD/AZZA ZAKI

### PROJECT GOALS:

- To enhance understanding of U.S. foreign policy goals, with emphasis on the decision-making process;
- To illustrate the interplay among the multiple institutions, including media, affecting foreign policy in the United States;
- To review major issues in international relations and to examine the U.S. positions on these issues.

PARTICIPANTS: This project is designed for government officials, politicians, academics and journalists with an interest in the decision-making process in U.S. foreign policy.

SUMMARY: This project will expose participants to the vigorous and open public debate which forms the basis for decision-making in the U.S. foreign policy process, and will give participants the opportunity to meet with foreign policy practitioners and with citizens nationwide attempting to influence the process. The project will provide participants with a better understanding not only of the substance and administration of U.S. foreign policy, but also of the way it is formulated and influenced.

Starting in Washington, D.C., participants will receive an overview of the process and institutions by which American foreign policy is formulated. In an initial seminar, a noted scholar of U.S. foreign policy will outline the basic tenets underlying U.S. policy today and will trace the evolution of major U.S. foreign policies through history. The domestic sources of U.S. policy, including the media, will be explored at an area university.

One seminar will explain how foreign policy proposals are formulated, submitted, approved or rejected and implemented through the various branches and agencies of government. Other meetings will explore the competitive foreign policy decision-making roles played by Congress, various offices of the executive branch, public opinion, and lobbies. Special attention will be given to the impact which the new Congress is likely to have on the incoming Administration's foreign policy initiatives.

A senior State Department or National Security Council official will be asked to provide a comprehensive overview of issues, vital interests, and priorities presently faced by the U.S.,

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including U.S. economic objectives and trade agreements, security arrangements and peacekeeping efforts, the U.S. role in fostering the emergence of democratic governments, and market economies, public diplomacy in the information age. The group will meet with past or present policy makers or analysts for a case-study of the American perspective on a specific foreign policy event.

A session with U.S. Government and NGO representatives will review the role of human rights in U.S. foreign policy, including the purpose and impact of annual State Department human rights reports and attendant government-NGO interaction. The group will review global and transnational questions surrounding economic assistance, environmental concerns, terrorism, drug trafficking, and conflict resolution. Representatives of non-governmental organizations (lobbying groups, research institutes, labor unions, or political action groups) will describe efforts to influence policy decision-making in an era of shrinking budgets.

In the national program, participants will visit diverse regions of the U.S. where they will have direct exposure to the domestic political forces and pressure groups which influence the formulation of U.S. foreign policy. Panel discussions will be arranged with representatives of labor, business, agriculture, the media, civic, ethnic, church or other special interest groups. These will explore subjects such as trade development, protectionism, and refugee resettlement in local communities. In one of the larger cities visited, a panel of media specialists will discuss the media's responsibility to keep the public informed on foreign policy issues, and the role public opinion plays in the success or failure of administration policies.

Team split programming will give participants an opportunity to visit smaller communities and hear how American citizens in less metropolitan areas view foreign policy concerns. A team split, based upon participants' geographic region, will include sessions at university regional studies departments. Here, visitors will interact with faculty and students who study their home regions. Participants will be able to discuss current concerns on regional tensions with community members of World Affairs Councils or citizen action groups. This will provide better insight on the diverse viewpoints held by American citizens on foreign policy issues and on how groups foster support for their positions.

The group will travel to New York in order to receive briefings from officials at both the United Nations and the U.S. Mission to the U.N. Leading analysts will discuss multilateral peacekeeping and assess the state of U.S. attitudes towards the U.N. The group will also hold discussions with leading academics, policy institutes, and journals of the foreign policy "establishment."

The project will include frequent opportunities for home hospitality and visits to schools, with a view toward providing participants venues to discuss with students and other groups their own viewpoints on international issues. The project will conclude in a city with resources relevant to bringing the U.S. experience into perspective and providing a synthesis to address any lingering questions or confusion.

## PRELIMINARY PROJECT SUMMARY

**TITLE:** INTERNATIONAL CONFLICT RESOLUTION AND PREVENTIVE DIPLOMACY  
**TYPE:** Multi-Regional  
**DATES:** September 25-October 16, 1997

**PROPOSAL DUE DATE:** JUNE 3, 1997  
**CONTACTS:** PAUL KREUTZER/GAIL CURTIS

### PROJECT GOALS:

- To develop participants' understanding of the principles, policies, and institutions concerned with preventive diplomacy and conflict resolution in international affairs;
- To familiarize participants with the activities of governmental agencies concerned with international conflict resolution; and with non-governmental organizations active in developing alternative diplomacy and mediation;
- To discuss academic perspectives on international affairs and conflict and peace studies, and build knowledge of preventive diplomacy skills.

**PARTICIPANTS:** The project is designed for conflict resolution and peace studies' practitioners and analysts; diplomats, military and defense officials; and scholars, NGO specialists, researchers, and journalists concerned with international affairs.

**SUMMARY:** This project will familiarize participants with the activities of governmental, multilateral, and non-governmental organizations active in preventive diplomacy and conflict resolution. Study of preventive diplomacy will examine the role of U.S., U.N., and third-party attempts to settle differences before violent crises erupt. Non-governmental and academic meetings will discuss theory and practice of multi-track diplomacy, private mediation, and post-conflict reconciliation. Additionally, academic meetings will describe conflict resolution curricula and training workshops.

In Washington, D.C., participants will meet with officials and conflict prevention specialists of foreign affairs agencies. State Department officials will describe U. S. diplomatic initiatives and cooperation with regional organizations and NGOs, and U.S. views on issues such as proliferation and arms control. AID meetings will review development and humanitarian factors which affect conflict situations. A meeting at USIA will review the Agency's public diplomacy resources and examples of USIA and VOA activities which contribute to conflict prevention and resolution. Defense Department briefings will include humanitarian operations, peacekeeping, and civil-military affairs. A Capitol Hill meeting will review Congressional responsibilities in U.S. foreign policy and diplomacy.

During national travel, participants will study particular issues in international affairs from the

-2-

American domestic perspective. Specialized institutes, military bases, and schools will host the group for discussions of techniques, resources, and training programs related to conflict prevention. Participants will take part in a conflict resolution skills-building seminar at an institution with a record of positive international involvement. The group will divide into teams, according to professional background, to visit diverse American cities offering distinct regional perspectives of U.S. society and foreign policy. Meetings at academic institutions will review academic conflict and peace programs. Participants will discuss curriculum development, theoretical paradigms, and meet students specializing in the subject. Participants will have an opportunity to present their home country and professional perspectives on the subject of the project. Audiences for such sessions may include local sponsors, speakers, volunteers, and other members of the group.

In New York, the group will study U.N. and media perspectives. Journalism and academic specialists will discuss the role of the media in peace and conflict reporting. Meetings with U.N. officials will review peacekeeping, U.N. reform, and negotiation of intractable disputes.

The project will conclude with a synthesis session evaluating preventive diplomacy as a practical resource in averting violent international conflict. Cultural events will be scheduled throughout the program to provide visitors with insight into informal aspects of U.S. society and culture.



## AID Posts Around the World

### Africa

BOTSWANA Gaborone  
BURUNDI Bujumbura  
CAMEROON Yaounde  
CHAD N'Djamena  
DJIBOUTI Djibouti  
THE GAMBIA Banjul  
GHANA Accra  
GUINEA Conakry  
GUINEA-BISSAU/CAPE VERDE  
Bissau/Praia  
IVORY COST Abidjan  
KENYA Nairobi  
LESOTHO Maseru  
LIBERIA Monrovia  
MALAWI Lilongwe  
MALI Bamako  
MAURITANIA Nouakchott  
NIGER Niamey  
RWANDA Kigali  
SENEGAL Dakar  
SIERRA LEONE Freetown  
SOMALIA Mogadishu  
SUDAN Khartoum  
SWAZILAND Mbabane  
TANZANIA Dar es Salaam  
TOGO/BENIN Lome/Cotonou  
UGANDA Kampala  
BURKINA FASO Ouagadougou  
ZAIRE Kinshasa  
ZAMBIA Lusaka  
ZIMBABWE Harare

### Asia

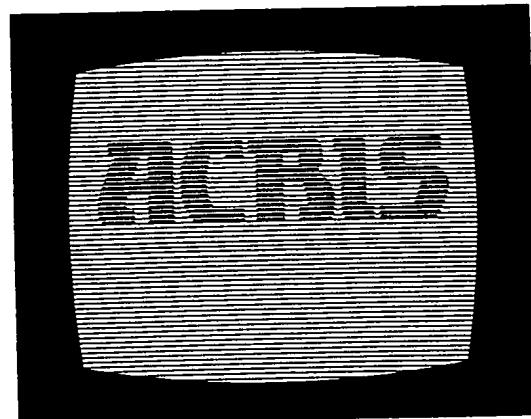
BANGLADESH Dhaka  
BURMA Rangoon  
FIJI Suva  
INDIA New Delhi  
INDONESIA Jakarta  
NEPAL Kathmandu  
PAKISTAN Islamabad  
PHILIPPINES Manila  
SRI LANKA Colombo  
THAILAND Bangkok

### Latin American and the Caribbean

BARBADOS Bridgetown  
BELIZE Belize City  
BOLIVIA La Paz  
COSTA RICA San Jose  
DOMINICAN REPUBLIC  
Santo Domingo  
ECUADOR Quito  
EL SALVADOR San Salvador  
GRENADA W.I. St George's  
GUATEMALA Guatemala City  
GUYANA Georgetown  
HAITI Port au Prince  
HONDURAS Tegucigalpa  
JAMAICA Kingston  
MEXICO Mexico D.F.  
NICARAGUA Managua  
PANAMA Panama City  
PARAGUAY Asuncion  
PERU Lima

### Near East

EGYPT Cairo  
JORDAN Amman  
LEBANON Beirut  
MOROCCO Rabat  
OMAN Muscat  
PORTUGAL Lisbon  
SYRIA Damascus  
TUNISIA Tunis  
YEMEN Sanaa



**A Resource for  
Expanding into  
International  
Markets**

**Agency for International Development**

**Office of Small and Disadvantaged  
Business Utilization/  
Minority Resource Center  
Washington, D.C. 20523**



## What ACRIS is

ACRIS is a computerized data base established by the United States Agency for International Development (AID) to assist small, medium and disadvantaged U.S. businesses and individual consultants\* to compete for participation in AID financed technical service (non-commodity) contracts.

## What ACRIS stands for

AID  
Consultant  
Registry  
Information  
System

## What ACRIS does

- Brings U.S. technical service businesses and individual consultants to the attention of AID personnel considering the use of private sector technical service firms or individuals for AID financed projects.
- Lists U.S. firms and individuals and their technical service capabilities.
- Matches technical services needed in AID financed projects with private sector capabilities in the ACRIS data base.
- Provides contact information for bidding notification for businesses in the ACRIS data base with capabilities needed in AID financed projects.

## Sample Information in the ACRIS System

- Name and address
- Telephone and cable/telex number
- Contact person
- Technical Service Capabilities
- Contracting Experience
- Bank Reference

\*Individual consultants must be U.S. citizens or individual nationals residing in the United States.

## How ACRIS works

- Firms or individual consultants who wish to be included in the ACRIS data base notify:  
Office of Small and Disadvantaged Business Utilization/  
Minority Resource Center  
Agency for International Development  
Washington, D.C. 20523
- AID periodically sends questionnaires to firms and individual consultants requesting their technical service capabilities to be included in ACRIS.
- The firms or individuals fill out the questionnaires, which provide AID with the basic information describing performance capabilities, and return the questionnaires to AID.
- New firms and individuals are periodically entered into ACRIS.
- AID personnel considering the use of private sector technical services in AID financed projects can search the ACRIS data base to obtain names of firms and individuals with capabilities



needed to fulfill requirements in the particular project under consideration.

- Firms and individuals with relevant capabilities will be notified of upcoming contracting opportunities.
- Often used technical services include:
  - telecommunications
  - environmental services
  - educational services
  - architecture & engineering
  - management services
  - information services
  - transportation services
  - water & sanitation services
  - agriculture & rural development
  - urban development
  - tourism
  - population sciences
  - nutrition
  - energy sciences
  - construction

If you wish your capabilities to be included in the ACRIS data base, please fill out the attached form and mail it to AID. Upon receipt of your form AID will mail you an ACRIS questionnaire. Questionnaires are mailed at least twice a year. Fill out the questionnaire and return it to AID. The information you provide in the questionnaire will be entered into the ACRIS data base. There is no charge for this service.

**For additional information on ACRIS please return this card**

Your Name _____	Date _____
Your Position _____	
Organization's Name _____	
Business Address _____	
Telephone _____	
<input type="checkbox"/> I wish to be included in the ACRIS data base. Please send me an ACRIS questionnaire.	
<input type="checkbox"/> Firm <input type="checkbox"/> Individual Consultant	



## The Agency for International Development

AID administers most of the foreign economic assistance programs of the U.S. government. These development programs are operated in about 60 countries in Africa, Asia, Latin America, and the Near East.

AID helps developing countries establish and improve their economic, political, and social institutions through development projects and programs. These stimulate political and economic growth and stability, thereby leading to more active roles in world trade.

## AID's Office of Small and Disadvantaged Business Utilization

The Office of Small and Disadvantaged Business Utilization facilitates AID relationships with the U.S. business community. This office provides information about ACRIS and other AID programs.

Through its services, the Small and Disadvantaged Business Utilization office will increase the participation of small, minority- and women-owned firms in AID-financed procurement. Staff counselors identify contract opportunities available in AID programs and projects, interpret government procurement regulations, recommend marketing approaches, and assist prospective private sector technical service contractors in meeting AID documentation requirements. The counseling is especially helpful to entry-level firms. Now ACRIS can help AID contract officers all over the world locate U.S. businesses who can provide technical services to AID-financed projects. Contact us — we'll be glad to help you! We're the

Office of Small and Disadvantaged Business Utilization/Minority Resource Center  
Agency for International Development  
Washington, D.C. 20523  
(703) 235-1720 or 235-1840

Place  
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Here



DEPARTMENT OF THE TREASURY  
WASHINGTON

*Gant Windsor*  
535-6719

*Bill Hart*  
535-4789

Dear MegaMarketplace Participant:

*Small Business Specialist*

Welcome to MegaMarketplace! Thank you for your interest in the procurement activities of the Department of the Treasury. The Small Business Program Office has been established by the Director of Treasury's Office of Small and Disadvantaged Business Utilization (OSDBU) to serve the interests of small, disadvantaged and women-owned businesses.

Please pick up a copy of our publication, *Selling to the Department of the Treasury*, which includes local and regional procurement contacts for each of Treasury's twelve bureaus, a brief description of the bureaus' responsibilities, and a Solicitation Mailing List Application (SF 129). This form should be sent directly to the individual bureaus for inclusion on their mailing lists.

Attached to this letter are several useful marketing tools: a list of Federal agency OSDBU Directors, a chart of Treasury's Small Business Specialists and Chief Procurement Officers, and a list of Treasury Training Directors. You may wish to make an appointment with the Small Business Specialist in the bureau that purchases your products and services. You may also send a copy of your SF 129 and capability statement to this office at the address below.

Treasury also uses the Small Business Administration's (SBA) Procurement Automated Source System (PASS) to identify sources for our procurements. If you are not presently enrolled in PASS, you may register at your local SBA office (address list attached).

We appreciate your interest in serving the procurement needs of the Department of the Treasury. Best wishes for a successful day of marketing at MegaMarketplace.

—  
Debra E. Sonderman  
Small Business Program Manager, OSDBU  
Department of the Treasury  
1500 Pennsylvania Avenue, N.W.  
Washington, D.C. 20220  
(202) 566-9616

Attachment

**MARKETING RESOURCES**

**TABLE OF CONTENTS**

Marketing Information/Publications Not Available in This Packet and Where to Obtain Them.....	1
Federal/Agency Directors of Small and Disadvantaged Business Utilization.....	2
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Treasury Department Training Officers.....	7

Marketing Information/Publications Not Available in This Packet  
and Where to Obtain Them

Information/publications available from:

U.S. Small Business Administration  
Post Office Box 30  
Denver, CO 80201-0030

- o SBA's Procurement Automated Source System (PASS) application
- o *Selling to the U.S. Government*
- o Other SBA publications: Refer to SBA form 115A, *Business Development Pamphlets* and SBA form 115B, *Business Development Booklets*
- o Information on State small business programs and activities can be obtained from your local SBA offices, or:
  - U.S. Small Business Administration  
Office of Advocacy  
State and Local Affairs, Room 414  
1441 L Street, N.W.  
Washington, DC 20416
- o Information may also be obtained by calling the SBA Answer Desk at 800/368-5855 (outside the Washington Metropolitan Area) or 653-7561 (within the Washington Metropolitan Area).

The following documents can be obtained from:

The Government Printing Office  
Superintendent of Documents  
Washington, DC 20402

- o *Commerce Business Daily* (also at local libraries)
- o *U.S. Government Purchasing and Sales Directory* (Stock #045-000-00226-8)
- o *Women Business Owners: Selling to the Federal Government* (Stock #045-00-00229-2), or from: Consumer Information Center, Pueblo, CO 81009

*The Directory of Public Information Contacts* is available from:

Public Relations Department (MP-221)  
Martin Marietta Corporation  
6801 Rockledge Drive  
Bethesda, MD 20817

Directors of Small and Disadvantaged Business Utilization (OSDBU)  
(area codes are (202) unless otherwise noted)

April 1987

AGENCY FOR INTERNATIONAL  
DEVELOPMENT  
OSDBU/MRC Room 1400A TT2 (SA14)  
Washington, DC 20523  
Mr. Joe Bennett--875-1551

AGRICULTURE, DEPARTMENT OF  
Administration Building  
Room 126W  
Washington, DC 20250  
Mr. Casey Mann--447-7117

AIR FORCE, DEPARTMENT OF  
The Pentagon, Room 4C255  
Washington, DC 20330-5040  
Mr. Don Rellins--697-4126

ARMY, DEPARTMENT OF  
The Pentagon, Room 2A712  
Washington, DC 20310-0106  
Col. D.W. Morse (Acting)--697-7753

COMMERCE, DEPARTMENT OF  
Room 6411  
Washington, DC 20230  
Mr. James Maruca--377-3387

DEFENSE, DEPARTMENT OF  
Office of the Secretary  
The Pentagon, Room 2A340  
Washington, DC 20301-3061  
Ms. Norma Leftwich--694-1151

DEFENSE LOGISTICS AGENCY  
Cameron Station  
Alexandria, VA 22314-6100  
Mr. Ray Dellas--274-6471

EDUCATION, DEPARTMENT OF  
Room 4329, Switzer Bldg.  
400 Maryland Avenue, SW  
Washington, DC 20202-2410  
Mr. Daniel Levin--732-4500

ENERGY, DEPARTMENT OF  
Room 1E061, MA-41  
Washington, DC 20585  
Mr. Leo Miranda (Deputy)--586-8201

ENVIRONMENTAL PROTECTION AGENCY  
401 M Street, SW, A-149-C  
Washington, DC 20460  
Mr. John M. Ropes--557-7777

EXECUTIVE OFFICE OF THE  
PRESIDENT  
Old Executive Office Bldg.  
Room 498  
Washington, DC 20500  
Mr. Ernest A. Roane--395-3314

EXPORT-IMPORT BANK  
Room 1031  
811 Vermont Avenue, NW  
Washington, DC 20571  
Ms. Helen Wall--566-8951

FEDERAL HOME LOAN BANK BOARD  
4th Floor, G3-M/S 42  
1700 G Street, NW  
Washington, DC 20552  
Mr. Columbus D. Jude, Sr.--377-6840

FEDERAL TRADE COMMISSION  
6th & Penn., Ave., NW, Suite 700  
Washington, DC 20580  
Mr. Robert S. Walton--523-5552

GENERAL SERVICES ADMINISTRATION  
18th & F Street, NW, Room 6013  
Washington, DC 20405  
Mr. John Wynn--566-1021

HEALTH AND HUMAN SERVICES, DEPT. OF  
Room 513D  
200 Independence Avenue, SW  
Washington, DC 20201  
Mr. Richard Clinkscales--245-7300

OSDBU Directors, cont'd

**HOUSING & URBAN DEVELOPMENT**  
 451 7th Street, SW, Room 10226  
 Washington, DC 20410  
 Ms. Bernice Williams--755-1428

**INTERIOR, DEPARTMENT OF**  
 18th & C Streets, NW, Room 2527  
 Washington, DC 20240  
 Ms. Charlotte Spann--343-8493

**INTERSTATE COMMERCE COMMISSION**  
 Room 3123, Sm. Bus. Asst. Ofc.  
 12th & Constitution Ave., NW  
 Mr. Dan King--275-7597

**JUSTICE, DEPARTMENT OF**  
 HOLC Bldg., Room 748  
 320 1st Street, NW  
 Washington, DC 20530  
 Mr. Enos E. Roberts--724-6271

**LABOR, DEPARTMENT OF**  
 Room S-1004  
 200 Constitution Ave., NW  
 Washington, DC 20210  
 Mr. Walter C. Terry--523-9148

**NASA HEADQUARTERS**  
 Code K, Room 116  
 600 Independence Avenue, SW  
 Washington, DC 20546  
 Mr. Eugene Rosen--453-2088

**NATIONAL CREDIT UNION ADMIN.**  
 1776 G Street, NW, Room 6630  
 Washington, DC 20456  
 Mr. William Poling--357-1025

**NAVY, DEPARTMENT OF**  
 Room 120, Crystal Plaza 5  
 Washington, DC 20360  
 Mr. Don L. Hathaway--692-7122

**NATIONAL SCIENCE FOUNDATION**  
 Industrial Sc. & Tech. Innovations  
 1800 G St., NW, Room 1250  
 Washington, DC 20550  
 Mr. Donald Senich--357-9666

**OFFICE OF PERSONNEL MANAGEMENT**  
 1900 E Street, NW, Room 2311  
 Washington, DC 20415  
 Mr. Larry Eisenhart--632-0220

**RAILROAD RETIREMENT BOARD**  
 2000 L Street, NW, Suite 500  
 Washington, DC 20036  
 Mr. John Ficerai--653-9540

**STATE, DEPARTMENT OF**  
 M/SDBU, Room 513 SA-6  
 Washington, DC 20520  
 Mr. Robert A. Cooper--235-9579

**TENNESSEE VALLEY AUTHORITY**  
 1000 Commerce Union Bank Building  
 Chattanooga, TN 37401  
 Mr. Frank E. Alford--615/751-2624

**TRANSPORTATION, DEPARTMENT OF**  
 400 7th Street, SW, Room 94114  
 Washington, DC 20590  
 Ms. Amparo Bouchey--426-1930

**TREASURY, DEPARTMENT OF**  
 1500 Penn. Ave., NW, Room 1458  
 Washington, DC 20220  
 Ms. Jill E. Kent--566-5248  
 Small Business Program Manager  
 Ms. Debra E. Sonderman--566-9616

**U.S. INFORMATION AGENCY**  
 301 4th Street, SW  
 NASSIF BUILDING, PL 1200  
 Washington, DC 20547  
 Mr. Mike Green--366-0133

**U.S. NUCLEAR REGULATORY COMMISSION**  
 Maryland National Bank Building  
 Room 7217  
 Washington, DC 20555  
 Mr. William Kerr--492-4665

**U.S. POSTAL SERVICE**  
 475 L'Enfant Plaza West, SW  
 Room 4131  
 Washington, DC 20260-6201  
 Mr. Peter Evanko--268-4633

**VETERANS ADMINISTRATION**  
 810 Vermont Avenue, NW, Code 005C  
 Washington, DC 20420  
 Ms. Susan Livingstone--233-2192

DEPARTMENT OF THE TREASURY  
 SMALL BUSINESS SPECIALISTS/BUREAU CHIEF PROCUREMENT OFFICERS  
 (Area Code 202 Except GA)\*

BUREAU	SPECIALISTS	PROCUREMENT OFFICERS	ADDRESS
Departmental Offices	Jerry Lewis 566-6992	Jim Harvey 566-8070	Room 1446 1500 Pennsylvania Ave., NW, DC 20220
Alcohol, Tobacco and Firearms	Jackie Barber 566-7421	Jack Gallagher 566-7421	Room 3429, ICC Building 1111 Constitution Ave., NW, DC 20226
Comptroller of the Currency	Fred Green 447-1833	Vic Primeau 447-1833	3rd Floor 490 L'Enfant Plaza, SW, DC 20219
Customs Service	Andrea Wood 535-4937	Ted Kasna 566-2405	Room 1144 1301 Constitution Ave., NW, DC 20229
Engraving & Printing	Sharon Welsh 447-9372 Adonijah Edwards 447-9572	Darwin Atkinson 447-9449	Room 705-13A 14th & C Sts., SW, DC 20228
Law Enforcement Training Ctr.	G. Thomas *912/267-2200 FRS 8-230-2200	Gerry Thomas *912/267-2229 FTS 8-230-2229	Building 28 Brunswick, GA 31524
Financial Mgmt. Service	John Dix 566-8621 Room 112	Phil Baldwin 566-2382	Room 124, Annex 1 PA Ave & Madison Pl., NW, DC 20226
Internal Rev. Service	Bill Hart 535-4792 Rm 6139	Ed Curvey 535-4804 for ADP call Fred Martin 535-6706	Room 6148, ICC Building 1111 Constitution Ave., NW, DC 20224
U.S. Mint	Ray German 376-0470	Glenn Carter 376-0470	Room 802 633-3rd St., NW, DC 20220
Public Debt	Nancy Veret 376-4116 999 E St., NW, Rm. 445 DC 20239	James Dolvin 447-0064	Room 737 14th & C St., SW, DC 20239
Savings Bonds Division	Archie Smith 634-5646	William McCarney 634-5295	Room 217 1111 20th St., NW, DC 20226
Secret Service	Joe Prewitt 566-6940	Nancy Kerlin 566-6940	Room 730 1310 L St., NW, DC 20223
	March 1987		

SBA FIELD OFFICES

REG	TYPE	CITY	ST ZIP	ADDRESS	PUBLIC PHONE
01	RO	BOSTON	MA 02110	60 BATTERYMARCH STREET	(617)223-3204
01	DO	AUGUSTA	ME 04330	40 WESTERN AVENUE	(207)622-8378
01	DO	BOSTON	MA 02114	150 CAUSEWAY STREET	(617)223-3224
01	DO	CONCORD	NH 03301	55 PLEASANT STREET	(603)224-4041
01	DO	HARTFORD	CT 06106	ONE HARTFORD SQ. WEST	(203)722-3600
01	DO	MONTPELIER	VT 05602	87 STATE STREET	(802)229-0538
01	DO	PROVIDENCE	RI 02903	380 WESTMINISTER MALL	(401)528-4586
01	BO	SPRINGFIELD	MA 01103	1550 MAIN STREET	(413)785-0268
02	RO	NEW YORK	NY 10278	26 FEDERAL PLAZA	(212)264-7772
02	POD	ALBANY	NY 12207	445 BROADWAY	(518)472-6300
02	POD	CAMDEN	NJ 08104	1800 E. DAVIS STREET	(609)757-5183
02	POD	ROCHESTER	NY 14614	100 STATE STREET	(716)263-6700
02	POD	ST. CROIX	VI 00820	4C & 4D ESTATE SION FARM	(809)773-3480
02	POD	ST. THOMAS	VI 00801	VETERANS DRIVE	(809)774-8530
02	DO	HATO REY	PR 00918	CARLOS CHARDON AVENUE	(809)753-4002
02	DO	NEW YORK	NY 10278	26 FEDERAL PLAZA	(212)264-4355
02	DO	NEWARK	NJ 07102	60 PARK PLACE	(201)645-2434
02	DO	SYRACUSE	NY 13260	100 S. CLINTON STREET	(315)423-5383
02	BO	BUFFALO	NY 14202	111 W. HURON STREET	(716)846-4301
02	BO	ELMIRA	NY 14901	333 E. WATER STREET	(607)734-8130
02	BO	MELVILLE	NY 11747	35 PINELAWN ROAD	(516)454-0750
03	RO	PHILADELPHIA	PA 19004	231 ST. ASAPHS ROAD	(215)596-5889
03	DO	BALTIMORE	MD 21202	10 N. CALVERT STREET	(301)962-4392
03	DO	CLARKSBURG	WV 26301	168 W. MAIN STREET	(304)623-5631
03	DO	PHILADELPHIA	PA 19004	231 ST. ASAPHS ROAD	(215)596-5889
03	DO	PITTSBURGH	PA 15222	960 PENN AVENUE	(412)644-2780
03	DO	RICHMOND	VA 23240	400 N. 8TH STREET	(804)771-2617
03	DO	WASHINGTON	DC 20036	1111 18TH STREET, N.W.	(202)634-4950
03	BO	CHARLESTON	WV 25301	550 EAGAN STREET	(304)347-5220
03	BO	HARRISBURG	PA 17101	100 CHESTNUT STREET	(717)782-3840
03	BO	WILKES-BARRE	PA 18701	20 N. PENNSYLVANIA AVENUE	(717)826-6497
03	BO	WILMINGTON	DE 19801	844 KING STREET	(302)573-6294
04	RO	ATLANTA	GA 30367	1375 PEACHTREE ST., N.E.	(404)881-4999
04	POD	STATESBORO	GA 30458	52 N. MAIN STREET	(912)489-8719
04	POD	TAMPA	FL 33602	700 TWIGGS STREET	(813)228-2594
04	POD	WEST PALM BEACH	FL 33407	3550 45TH STREET	(305)689-2223
04	DO	ATLANTA	GA 30309	1720 PEACHTREE ROAD, N.W.	(404)881-4749
04	DO	BIRMINGHAM	AL 35203	2121 8TH AVENUE N.	(205)254-1344
04	DO	CHARLOTTE	NC 28202	230 S. TRYON STREET	(704)371-6563
04	DO	COLUMBIA	SC 29202	1835 ASSEMBLY STREET	(803)765-5376
04	DO	JACKSON	MS 39269	100 W. CAPITOL STREET	(601)965-4378
04	DO	JACKSONVILLE	FL 32202	400 W. BAY STREET	(904)791-3782
04	DO	LOUISVILLE	KY 40202	600 FEDERAL PLACE	(502)582-5976
04	DO	MIAMI	FL 33134	2222 PONCE DE LEON BLVD.	(305)536-5521
04	DO	NASHVILLE	TN 37219	404 JAMES ROBERTSON PKWY	(615)251-5881
04	BO	GULFPORT	MS 39501	ONE HANCOCK PLAZA	(601)863-4449
05	RO	CHICAGO	IL 60604	230 S. DEARBORN STREET	(312)353-0359
05	POD	EAU CLAIRE	WI 54701	500 S. BARSTOW STREET	(715)834-9012
05	DO	CHICAGO	IL 60604	219 S. DEARBORN STREET	(312)353-4523
05	DO	CLEVELAND	OH 44199	1240 E. 9TH STREET	(216)552-4180
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05	DO	DETROIT	MI 48226	477 MICHIGAN AVENUE	(313)226-6075
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AID CONTRACTING THROUGH THE  
SMALL BUSINESS ADMINISTRATION 8(a) PROGRAM

The 8(a) program is a business development program administered by the Small Business Administration (SBA) to assist small businesses owned by socially and economically disadvantaged individuals. It is one of two existing SBA mechanisms available to help increase small and minority business participation in AID-financed programs.

The designation "8(a)" refers to Section 8(a) of the Small Business Act, which permits SBA to contract with any Federal Agency on a non-competitive basis, to provide goods and services. SBA subcontracts with approved 8(a) businesses for the performance of the contract. The subcontracting arrangement gives SBA control and overview to ensure that the 8(a) firm both performs the specific job requirements and progresses on its individual business development plan as formulated in cooperation with SBA. SBA's willingness to accept a contract is predicated on its certainty that the 8(a) firm has the capability to perform.

The 8(a) program is basically non-competitive. With only one exception, a single firm may be selected without considering other firms. The exception is technical competition of up to five or six 8(a) firms. Costs are then negotiated by the contracting officer with the chosen firm and approved by SBA.

It takes an average of 60 days from the time the contracting officer receives the PIO/T for a non-competitive award to the time the contract is signed. Additional time may be required if the contract to be negotiated is complex, if an audit is required, or other unpredictable circumstances arise.

PROCEDURE FOR USING SECTION 8(a) TO AWARD CONTRACTS

A mission should work through its bureau's technical office to implement an 8(a) contract. This will assure appropriate coordination with SBA for the following procedures.

**A. Identify contracting opportunities for 8(a) firms.**

At the project design stage, contracting opportunities for 8(a) firms should be identified. The projects should then be designed to include them.

**B. Identify qualified 8(a) firms to perform the work.**

Firms to perform the required service can be identified in several ways:

## ATTACHMENT A

## Definitions

Minority Business Enterprise

A business at least 50% of which is owned by minority group members or, in case of publicly owned businesses, at least 51% of the stock of which is owned by minority group members. (Per Federal Acquisition Regulations)

Existing definitions of minorities in use by Federal agencies specifically mention Black Americans, Hispanic Americans, Native Americans, American Orientals and Asian Americans.

Small Business Enterprise

A firm which is independently owned and operated, is not dominant in the field of operation in which it is bidding on Government contracts and whose average annual receipts for its preceding three fiscal years do not exceed \$3.5 million (effective 3/12/84).

As a rule, the question of a firm's size will not arise in relation to AID's involvement with the 8(a) program, since SBA determines the small business status of the firm before admitting it into the 8(a) program.

Socially and Economically Disadvantaged

The Small Business Act gives separate definitions for business concerns and individuals:

1. Socially and economically disadvantaged small business concerns:...any small business concern (a) which is at least 51% owned by one or more socially and economically disadvantaged individuals; or, in the case of publicly owned business, at least 51% of the stock of which is owned by one or more socially and economically disadvantaged individuals; and (b) whose management and daily business operations are controlled by one or more such individuals.
2. Socially disadvantaged individuals are those who have been subjected to racial or ethnic prejudice or cultural bias due to their identity as a member of a group without regard to their individual qualities.
3. Economically disadvantaged individuals are those socially disadvantaged individuals whose ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same business area who are not socially disadvantaged.

### INDEFINITE QUANTITY CONTRACTS

The Indefinite Quantity Contract (IQC) is a special method by which preliminary agreement can be reached between A.I.D. and a contractor on general work descriptions and company qualifications, saving the time and individual negotiations otherwise necessary to contract for specific short-term requirements. The resulting IQC specifies the services which can be performed using a "work order" arrangement. The work order provides for short-term technical services, normally 120 days or less. IQC contracts are usually for a two-year period, which may be renewed or extended as necessary. Several companies may receive individual contracts using the same services description, thus providing a range of selection to the requesting A.I.D. office. Work orders, under the IQCs, can be executed in a very short time, even a matter of days. IQCs are particularly useful for short-term project support in economic sectors such as agriculture, health, energy, nutrition, education, and family planning.

### GENERAL SELECTION PROCEDURES

- A Request for Proposals (RFP) is synopsized in the Commerce Business Daily (CBD), indicating how many contractors are required and how many will be reserved for small businesses and disadvantaged firms.
- Offerers submit a written request for the RFP announced in the CBD synopsis. The RFP sets out the criteria to be used in evaluating an organization's capability and approach to the proposed scope of work.
- All proposals received by the contracting office are forwarded to an evaluation committee.
- The evaluation committee establishes a competitive range based entirely on the evaluation factors set forth in the RFP and produces a comparative analysis.
- Offerers whose proposals are not in the competitive range are so notified promptly by the contracting office.
- Negotiations are conducted with all offerers within the competitive range.
- Upon conclusion of all negotiations, the Contracting Officer awards a contract to the responsible offerers judged best able to perform the contract in a manner most advantageous to the Government.
- Offerers awarded an IQC contract are issued individual work orders on an as needed basis.

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON, D.C. 20523

OFFICE OF SMALL AND DISADVANTAGED BUSINESS UTILIZATION/  
MINORITY RESOURCE CENTER (OSDBU/MRC)

The Office of Small and Disadvantaged Business Utilization/Minority Resource Center\* (OSDBU/MRC), is the Agency's advocate for U.S. small and disadvantaged businesses. It ensures U.S. small firms, minority-owned firms, and women-owned firms of receiving equal opportunity for appropriate consideration for A.I.D.-financed procurements of goods and services. The Office also coordinates the Agency's implementation of the Gray Amendment,\*\* which is a 10% set-aside of A.I.D.'s Development Assistance and Sahel Funds for socially and economically disadvantaged firms, Historically Black Colleges and Universities (HBCUs), and minority private and voluntary organizations (PVOs). For the purposes of the Amendment, women are deemed socially and economically disadvantaged. Specifically, the Office of Small and Disadvantaged Business Utilization/Minority Resource Center:

- Serves as an information clearinghouse for U.S. businesses, organizations and institutions interested in participating in procurements of A.I.D.-financed goods and services;
- Serves as liaison with U.S. business, academic, and private and voluntary organization (PVO) communities regarding A.I.D.-financed development assistance activities;
- Counsels U.S. firms, organizations, and institutions, on how to do business with A.I.D.;
- Negotiates annually with the U.S. Small Business Administration (SBA) A.I.D. procurement goals for small, disadvantaged, and women-owned firms. Monitors and reports achievement of goals;
- Maintains the A.I.D. Consultant Registry Information System (ACRIS), an automated data base of more than 2,000 companies, organizations, institutions, and individual consultants/experts, which have expressed capabilities to match A.I.D. project requirements; and
- Participates in conferences, workshops, and seminars, sponsored by business, professional, and trade associations, and private and public organizations.

For more information about business opportunities with the Agency for International Development, call or write:

Agency for International Development  
Office of Small and Disadvantaged Business Utilization/  
Minority Resource Center  
Washington, DC 20523

Area Code (703) 875-1551 (Technical Assistance projects  
Area Code (703) 875-1590 (Commodities).

\*OSDBU established by Public Law 95-507, dated October 24, 1978, MRC established by Section 123 of Public Law 95-53, the "International Development Cooperation Act of 1979."

\*\*Gray Amendment first enacted for Fiscal Year 1984 A.I.D. appropriation.

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON DC 20523

IMPLEMENTING THE GRAY AMENDMENT

The Gray Amendment states "except to the extent that the Administrator determines otherwise," that not less than 10% of Development and Sahel Assistance Funds be made available to economically and socially disadvantaged enterprises, Historically Black Colleges and Universities (HBCUs) and private and voluntary organizations (PVOs), which are controlled by individuals who are economically and socially disadvantaged.

This translates to a FY '86 target of \$101 million. To achieve this goal, A.I.D. has developed a comprehensive implementation plan.

The Early Alert System, coordinated by the Office of Small and Disadvantaged Business Utilization/Minority Resource Center (OSDBU/MRC), is the major element of A.I.D.'s plan to implement the Gray Amendment. By reviewing projects at the earliest stage of development, the System identifies opportunities which may fit the skills and experience of the firms and organizations covered by the Amendment.

The A.I.D. Consultant Registry Information System (ACRIS) maintained by OSDBU/MRC reflects more than 2,000 firms and individual consultants/experts with capabilities to match potential A.I.D.-financed requirements.

OSDBU/MRC staff sit on the Agency's HBCU Committee and Intra-Agency PVO Liaison Committee to advocate procurement opportunities for HBCUs and minority PVOs.

Individual counseling of firms, HBCUs and PVOs is another major element of A.I.D.'s plan to implement the Gray Amendment. Counseling offers an opportunity for firms, HBCUs and PVOs with little or no overseas experience to learn how to expand their operations into international markets. For further information, call or write:

Agency for International Development.  
Office of Small and Disadvantaged Business  
Utilization/Minority Resource Center  
Washington, DC 20523

(703) 875-1551 (Technical Assistance Projects and Commodities).

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON, D.C. 20523

A.I.D.-FINANCED PROJECTS

A.I.D.-financed projects are described in the A.I.D. Congressional Presentation (published each fiscal year).

A.I.D.'s FY 1987 Congressional Presentation consists of the following:

Main Volume  
Annex I - Africa  
Annex II - Asia  
Annex III - Latin America and Caribbean  
Annex IV - Near East  
Annex V - Centrally Funded Programs

Individual volumes or the complete set can be ordered from:

National Technical Information Services  
5285 Port Royal Road  
Springfield, Virginia 22161  
Telephone No. (703) 487-4690 or 487-4650

A.I.D.-financed technical and professional requirements are synopsized in the Commerce Business Daily (CBD).

CBD SUBSCRIPTION INFORMATION

\$243 a year (First-Class mailing), \$173 a year (Second-Class mailing).

To Order: Send remittance with full mailing address to the:

Superintendent of Documents  
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Telephone (202) 783-3238

Purchase order must be accompanied by payment. Make checks payable to Superintendent of Documents. Visa or MasterCharge also acceptable. Allow approximately 6 weeks for delivery of first issue.

The A.I.D. Consultant Registry Information System (ACRIS) is a source bank of capability data of firms, organizations, and individual consultant experts. It is utilized by A.I.D. project and program offices to identify firms and capable of fulfilling professional and technical requirements. To register, request an ACRIS application from:

Agency for International Development  
Office of Small and Disadvantaged Business  
Utilization/Minority Resource Center  
Washington, D.C. 20523  
Telephone: (703) 875-1551

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A.I.D.-FINANCED COMMODITIES

A.I.D.-financed commodity requirements of the public sector are published in the A.I.D.-Financed Export Opportunities and the A.I.D. Procurement Information Bulletins. To obtain copies of these announcements, complete and return the enclosed Mailing List Application.

Other publications of interest to potential exporters of A.I.D.-financed commodities are:

- Export Opportunities with the Agency for International Development
- A.I.D. Commodity Eligibility Listing

Both are obtainable from the:

Agency for International Development  
Office of Small and Disadvantaged Business  
Utilization/Minority Resource Center  
Washington, D.C. 20523

Telephone No. (703) 875-1590

THE FY 1987 CONGRESSIONAL PRESENTATION IS AVAILABLE FROM:

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**Guatemala City, Guatemala**  
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Deputy Director William Schous

**Regional Development Office/Caribbean (RDOC)**  
**Bridgetown, Barbados**  
Director James Hotaway  
Deputy Director Alfred Biasset  
Associate Director for Grenada William B. Erdahl

### AID Offices

**Brazil Brasilia**  
AID Representative (Vacant)

**Colombia Bogota**  
AID Representative James F. Smith

**Mexico Mexico City**  
AID Representative Samuel Taylor

**Uruguay Montevideo**  
AID Representative Paul W. Fritz

**NOTE: Asuncion, Paraguay, has been redesignated as AID Section with no U.S. personnel.**

## INTERNATIONAL ORGANIZATIONS

**U.S. Mission to the United Nations**  
(including U.S. Secretariat, UNDP, UNICEF, UNCDP, UNPPA)  
New York, New York

Development Coordination Officer—Harold S. Fleming

**U.S. Mission to the U.N. Food and Agricultural Organization**  
(including FAO, WFP, WFC, IPAD)  
Rome, Italy

U.S. Executive Director to the International Fund for Agricultural Development (IFAD)—Vacant  
Attaché for Development Affairs—H. Peters Strong, Jr.

**U.S. Mission to the Organization for Economic Cooperation and Development**  
Paris, France

U.S. Representative to the Development Assistance Committee—David Lazer

Office of the U.S. Executive Director to the Asian Development Bank  
Manila, The Philippines

AID Development Adviser to the U.S. Executive Director—Kevin Ruark

GUIDELINES FOR SUBMITTING  
UNSOLICITED PROPOSALS TO THE  
AGENCY FOR INTERNATIONAL DEVELOPMENT

AID encourages the submission of unsolicited proposals which contribute new ideas consistent with and contributing to the accomplishment of AID's objectives. However, the requirements for contractor resources are normally quite program specific, and thus widely varied, and must be responsive to the host-country needs. Further, AID's projects are usually designed in collaboration with the cooperating country. These factors can limit both the need for, and AID's ability to use unsolicited proposals. THEREFORE, PROSPECTIVE OFFERORS ARE ENCOURAGED TO CONTACT AID TECHNICAL PERSONNEL TO DETERMINE AID'S MISSION AND NEEDS AS RELATED TO THE OFFEROR'S PROPOSAL BEFORE PREPARING AND SUBMITTING A FORMAL UNSOLICITED PROPOSAL. AID's policies and procedures for unsolicited proposals are established in Subpart 15.5 of the Federal Acquisition Regulations (FAR) and Subpart 715.5 of the AID Acquisition Regulations (AIDAR). Information concerning AID's policies and procedures on unsolicited proposals follows:

**1. Contact Points Within AID**

(a) For general information, Agency for International Development (AID), Washington, D.C. 20523, Attention: OSDBU/MRC, Room 648, SA-14 or telephone (703) 235-1720

(b) For research proposals, Agency for International Development, Washington, D.C. 20523, Attention: S&T/RUR, Room 309, SA-18

**2. Definitions**

(a) An "unsolicited proposal" is a written offer to perform a proposed task or effort, initiated and submitted to the Government by an offeror without solicitation by the Government, with the objective of obtaining funding. Advertising material, commercial product offerings, contributions, or technical correspondence as defined in paragraphs (b) through (e) below, will NOT be considered as unsolicited proposals.

(b) "Advertising material" is material designed to acquaint the Government with an offeror's present off-the-shelf products or potential capabilities, or material designed to determine the Government's interest in buying such products. Such materials should be submitted directly to whatever AID project office the offeror believes might have an interest in the material. There is no central point in AID for the receipt of such material since its submission is not encouraged.

(c) "Commercial product offerings" are offers of standard commercial products, usually sold in substantial quantities to the general public, which the offeror wishes to see introduced in the Government's supply system as an alternate or replacement for an existing supply item. Such materials should be submitted directly to whatever AID project office the offeror believes might have an interest in the material. There is no central point in AID for the receipt of such material, since its submission is not encouraged.

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(d) "Contributions" are concepts, suggestions, or ideas presented to the Government for its use, with no indication on the part of the offeror that it will devote any further effort in relations to such concepts, suggestions, or ideas on behalf of the Government. Such materials should be submitted directly to whatever AID project office the offeror believes might have an interest in such material.

(e) "Technical correspondence" includes written inquiries concerning Government interest in research areas, preproposal explorations, technical inquiries, and research descriptions. Offerors interested in submitting an unsolicited proposal are encouraged, before expending extensive effort in preparing a detailed unsolicited proposal or submitting any proprietary information to the Government, to make preliminary inquiries on the general need for the type of effort contemplated. The offeror is encouraged to contact Agency technical personnel, with the limited objectives of gaining an understanding of the Agency's mission and needs relative to the type of effort contemplated by the offeror.

3. Characteristics of a Suitable Proposal

Unsolicited proposals should contain the following information in order to permit consideration in an objective and timely manner:

(a) Basic information: (1) Name and address of the offeror; (2) type of organization, e.g., profit, nonprofit, educational, small, minority, or women-owned business, individual; (3) names and telephone numbers of offeror's personnel whom the Agency may contact for evaluation or negotiation purposes; (4) names of any other organizations receiving the proposal and/or funding the proposed effort and activity; (5) date of submission; (6) signature of an authorized representative of the offeror, authorized to contractually obligate the offeror; and (7) identification of any proprietary data which the offeror intends to be used by the Agency only for evaluation purposes. NOTE: If the offeror wishes to impose a restriction on the use of data in the unsolicited proposal, the title page shall be marked with the following legend:

USE OR DISCLOSURE OF DATA

This data shall not be used outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate the proposal; provided, that if a contract is awarded to the offeror as result of or in connection with the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the contract. This restriction does not limit the Government's right to use information contained in the data if it is obtainable from another source without restriction. The data subject to this restriction is contained in sheets \_\_\_\_\_.

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The offeror also shall mark each sheet within the proposal which he/she wishes to restrict, with the following legend:

"Use or disclosure of proposal data is subject to the restriction on the title page of this Proposal."

An unsolicited proposal shall be returned to the offeror if it is marked with different legends than those provided above.

(b) Technical information: Based on prior technical correspondence or informal inquiries regarding Agency program needs and requirements; (1) A concise title and an abstract (approximately 200 words) of the proposed effort; (2) a reasonably complete discussion of the objectives of the effort or activity, the method of approach and amount of effort to be employed, the anticipated results, and how the work will accomplish AID's mission; (3) the names and brief biographical information on the offeror's key personnel (including alternates, if desired), who would be involved; and (4) the type of support, if any, the offeror requests from AID; e.g., funds, facilities, equipment, materials, or personnel resources.

(c) Supporting information: (1) The proposed funding or total estimated cost; (2) a cost estimate or budget for the proposed effort sufficiently detailed by elements of costs for meaningful evaluation; (3) the type of agreement contemplated (contract, grant, etc.); (4) period of time for which the proposal is valid (NOTE: Unsolicited proposals should be submitted well in advance of the date the proposed effort or activity is intended to begin, to allow AID sufficient time to evaluate the proposal and negotiate any resultant agreement. A minimum of 6 months is suggested.); (5) proposed duration of effort; (6) if applicable, statements regarding cost sharing, (see para. 6 below, "Cost sharing"), organizational conflicts of interest (see para. 5 below, "Organizational Conflicts of Interest"), security clearance status, and environmental impact; (7) brief description of the offeror's previous work or experience in the field of the proposal; and (8) facilities to be utilized for the work.

(d) The proposal shall contain a signed statement from an official authorized to contractually obligate the offeror, that the proposal as submitted represented original effort by the offeror in the form of new and unique ideas, and was submitted by the offeror on its own initiative.

(e) Any proposal which does not conform to the requirements in paragraphs 3(a) through 3(d) above, will be returned to the offeror (see para. 7 below, "Submission and Evaluation of Proposals").

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**4. Determination of Contractor Responsibility**

No agreement can be entered into with any person, firm, or institution unless the offeror is determined to be "responsible" by the following criteria:

- (1) Adequate financial resources, or the ability to obtain the resources necessary for performance;
- (2) Ability to meet the proposed time schedule;
- (3) Satisfactory performance record;
- (4) Satisfactory record of integrity and business ethics; and
- (5) Otherwise qualified by law or regulation to receive an award (e.g., in compliance with EDO standards, etc.).

**5. Organizational Conflicts of Interest**

AID will not finance a project which would place either AID or the offeror in a conflict of interest situation. AID's policies on organizational conflicts of interest are established in Subpart 9.5 of the Federal Acquisition Regulations (FAR).

**6. Cost Sharing**

Prospective offerors may propose a cost sharing agreement; such proposals will be treated on a case-by-case basis, subject to the provisions of Federal Management Circular (FMC) 73-3.

**7. Submission and Evaluation of Proposals**

(a) Unsolicited proposals concerning research should be submitted to S&T/RUR, Room 309, SA-18, Agency for International Development, Washington, D.C., 20523; all other proposals should be submitted to OSDBU/MRC, Room 648, SA-14, Agency for International Development, Washington, D.C., 20523. Receipt of the proposal will be acknowledged promptly; the proposal will then undergo a preliminary examination to determine that it: (1) Contains sufficient technical and cost information to permit meaningful evaluation, as specified in para. 3, above; and (2) Has been approved by a responsible representative of the offeror authorized to contractually obligate the offeror.

(b) If the document does not meet these requirements, the offeror shall be given the opportunity to provide the required data. A comprehensive evaluation of an unsolicited proposal need not be made if the proposal is not within AID's mission. In such cases, the offeror shall be furnished a prompt reply, stating how the document is being interpreted by AID, the reason(s) for not evaluating it, and the disposition or intended disposition of the material submitted. AID shall not deny reconsideration of a timely and appropriately revised or supplemented proposal which is responsive to such an initial determination.

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(c) In evaluating an unsolicited proposal AID shall also consider the following: (1) Unique, innovative, or meritorious methods, approaches, or ideas which originated with, or were assembled by the offeror; (2) Overall scientific, technical, or socio-economic merit of the proposed effort or activity; (3) Potential contribution which the proposed effort is expected to make to AID's specific mission, if pursued at this time; (4) Capabilities, related experience, facilities, or techniques, or combinations thereof, which the offeror possesses and offers, which were considered to be integral factors for achieving the objective(s) of the proposal; and (5) Qualifications, capabilities, and experience of the proposed principal investigator, team leader, or other personnel considered to be critical in achieving the objectives of the proposal.

(d) A favorable comprehensive evaluation of an unsolicited proposal is not, in itself, sufficient justification for negotiating on a noncompetitive basis with the offeror. When a document qualifies as an unsolicited proposal, but the substance (1) is available to the Government without restriction from another source, or (2) closely resembles that of a pending competitive solicitation, or (3) is otherwise not sufficiently unique to justify acceptance; then the unsolicited proposal shall not be accepted and the proposal shall be returned to the offeror together with the reasons for the return. The Agency will not use all or any part of an unsolicited proposal as the basis, or as a portion, of a solicitation, or in negotiation with other firms unless the offeror is notified and agrees to the intended use.

(e) When it is determined by the Cognizant Assistant Administrator that the subject matter of an unsolicited proposal is acceptable for funding on a noncompetitive basis in accordance with the requirements of AIDPR 715.507, the unsolicited proposal will serve as the basis for negotiation; the contracting officer may request supplemental information as necessary.

November 1984

Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343  
1329

PCT/US 00/00382

250



**U.S. Department of  
Transportation**

Office of the Secretary  
of Transportation

400 Seventh St., S.W.  
Washington, D.C. 20590

SMALL AND DISADVANTAGED BUSINESS  
UTILIZATION LIAISON PERSONNEL

OFFICE OF THE SECRETARY

Vincent Careatti, Room 9100      400 7th Street, S.W.  
Telephone: 366-4278                Washington, D.C. 20590

FEDERAL AVIATION ADMINISTRATION

Lucien A. Benjamin (MBE), Room 401C      800 Independence Ave., S.W.  
Telephone: 267-8881                Washington, D.C. 20591

Carolyn McVicker (SB), Room 408      800 Independence Ave., S.W.  
Telephone: 267-3614                Washington, D.C. 20591

UNITED STATES COAST GUARD

John E. Kyle, Room 5309      2100 2nd Street, S.W.  
Telephone: 267-1154                Washington, D.C. 20593

Dan Sturdivant, Room 5215      2100 2nd Street, S.W.  
Telephone: 267-2500                Washington, D.C. 20593

FEDERAL HIGHWAY ADMINISTRATION

Frank J. Waltos, Room 4404      400 7th Street, S.W.  
Telephone: 366-4205                Washington, D.C. 20590

Dave Weber - Eastern Direct Fed.      1000 N. Glebe Road  
Telephone: (703) 235-3051                Arlington, Virginia 22201

FEDERAL RAILROAD ADMINISTRATION

Miles S. Washington, Jr. (M8E), Room 5420      400 7th Street, S.W.  
Telephone: 366-9753                Washington, D.C. 20590

Joseph P. Kerner (SB), Room 8222      400 7th Street, S.W.  
Telephone: 366-0563                Washington, D.C. 20590

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

Richard L. Dixon, Room 5301      400 7th Street, S.W.  
Telephone: 366-9563                Washington, D.C. 20590

URBAN MASS TRANSPORTATION ADMINISTRATION

Robert G. Owens, Room 7412      400 7th Street, S.W.  
Telephone: 366-4018                Washington, D.C. 20590

MARITIME ADMINISTRATION

John J. White, Room 7225      400 7th Street, S.W.  
Telephone: 366-2812                Washington, D.C. 20590

RESEARCH & SPECIAL PROGRAMS ADMINISTRATION

B. D. (Bea) Vandervalk, Room 8406      400 7th Street, S.W.  
Telephone: 366-9638                Washington, D.C. 20590

Eileen Murphy, TSC      Kendall Square  
Telephone: (617) 494-2673      Cambridge, Massachusetts 02142

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

Margaret E. Kirkey      P. O. Box 520  
Chief, Procurement and Support Services      Massena, New York 13662  
Telephone: (315) 764-3236

DEPARTMENT OF TRANSPORTATION

SMALL PURCHASING OFFICIALS

Federal Aviation Administration

Mr. Fredrick E. Castle, ALG-383  
Supervisor, Contracts Services Section  
800 Independence Avenue, SW, Rm. 405  
Washington, D.C. 20591  
267-3612

Federal Highway Administration

Mr. William O. Spriggs, MCP-41  
Supervisory Contract Negotiator  
400 7th Street, SW, Rm. 4410  
Washington, D.C. 20590  
366-4241

Federal Railroad Administration

Ms. Edna D. Vaughn, RAD-30  
Small Purchasing  
400 7th Street, SW, Rm. 8222  
Washington, D.C. 20590  
366-0564

National Highway Traffic Safety Administration

Mr. Franklin Goode, NAD-30  
Contract Specialist  
400 7th Street, SW, Rm. 5301  
Washington, D.C. 20590  
366-9569

Urban Mass Transportation Administration

Ms. Donna Abbott, UAD-40  
Contract Specialist  
400 7th Street, SW, Rm. 7405  
Washington, D.C. 20590  
366-2500

Maritime Administration

Mr. Allan F. Connell, MAR-315  
Contract Specialist  
400 7th Street, SW, Rm. 7310  
Washington, D.C. 20590  
366-5757

Research and Special Programs Admin.

Mr. David Baker, DMA-14  
Chief, Procurement Division  
400 7th Street, SW, Rm. 8321  
Washington, D.C. 20590  
366-2620

United States Coast Guard

Mr. James H. Newton, G-FCP  
Contracting Officer  
2100 2nd Street, SW, Rm. 5505  
Washington, D.C. 20593  
267-1578

Office of the Secretary

Ms. Mary Deadwyler, M-43.4  
Acting Chief, Small Purchase Branch  
400 7th Street, SW, Rm. 9134  
Washington, D.C. 20590  
366-4952

**Selling to the Department of the Treasury**

**Errata Sheet**

On page 1, "formal advertising" should read "sealed bids."

The threshold for small purchases is \$25,000.

The Bureau of Alcohol, Tobacco and Firearms has closed its field procurement offices. All inquiries should be directed to the Headquarters procurement office in Washington, D.C.

The U.S. Customs Service has consolidated its field procurement offices in one location. All inquiries for regional purchases should be directed to:

U.S. Customs Service  
National Logistics Center  
P.O. Box 68905  
Indianapolis, IN 46268  
(317) 298-1119

LIST OF USIA PROCUREMENT OFFICES WITH  
OPPORTUNITIES FOR SMALL PURCHASES  
(ZIP CODE FOR ALL LOCATIONS: 20547)

Bureau of Management

1. Products and Services Division - M/KS  
Person to Contact: Joseph Krepps - (202) 485-6388  
330 C Street, S.W. - Room 1611

Supplies-

Teletype Paper  
Floppy discs - Memorex  
Regulator - Constant voltage  
Labels - Mailing, pressure sensitive  
Transformers, constant voltage modems

2. General Services Branch - M/ASG  
Person to Contact: Jim Geeter - (301) 763-8175  
4801 Stamp Road, Temple Hills, Md. 20547

Supplies -

Typewriter ribbons, printwheels, elements  
Rubber stamps  
For Wang Equipment Only  
Disc  
Print Wheels  
Ribbons

Services -

Shampoo carpets  
Drapery cleaning  
Misc. repairs - doors, typewriters and calculators

3. Field Equipment and Supply Branch - M/AOF  
Person to Contact: Tom Reavis - (202) 376-7784  
601 D Street, N.W. - Room L-0006

Supplies -

Electronic Supplies  
Microphones  
Parts  
Plugs  
Wire and cables, etc.  
Audio and video tapes and cassettes (rawstock)

4. Overseas Procurement Branch - M/AOP  
Person to Contact: Betty Jenkins - (202) 485-2343  
301 4th Street, S.W. - Room 616

Supplies-

Upholstery Fabric  
Office furniture (tables/chairs, etc.)  
Appliances (all types)  
Computer supplies

5. Training and Development Division - M/PT  
Person to Contact: Alfred V. Boerner Jr. - (202) 485-6333  
330 C Street, S.W. - Room 1086

Services - Training courses in the following areas:

Professional and Technical Studies  
Management  
Secretarial/Clerical Procedures  
Language training

6. Office of Administration and Technology, Users Services Staff - M/ATU  
Person to Contact: John R. Stevens - (202) 366-0143  
400 7th Street, S.W. - Room PL-1200 DOT Bldg.

Services -  
ADP systems design for the Agency. The group conducts needs analysis  
to determine the best software and hardware necessary to fulfill user  
requirements.

Bureau of Programs

1. Executive Office - P/XK  
Person to Contact - Joan Beverly - (202) 485-2818  
301 4th Street, S.W. - Room 553

Services -

Art Work - Layouts, designs and illustrations  
Transcription  
Photos - Stock and free lance  
Translation - French, Spanish, Arabic, Russian and Polish languages  
(An occasional need for writing service)

2. Printing Division - P/PR  
Person to Contact - Joseph Staszak - (202) 485-2064  
301 4th Street, S.W. - Room 465

Supplies and Equipment -

Printing Press equipment and supplies - Electrostatic, direct image  
and metal plates  
Photographic equipment and supplies - (An occasional need for  
batteries for cameras and flash attachments, etc.)

3. Exhibit Services - P/EDC  
Person to Contact: Alan Nurmi - (202) 485-7205  
301 4th Street, S.W. - Room 363

Supplies -

- Artifacts
- Posters

Services -

- Silkscreening
- Typesetting
- Photo research
- Fabrication, exhibit
- Translation (French and Spanish languages)

Television and Film Service

Administrative Office - TV/A

Person to Contact: Linda Harrison or Patricia McCauley - (202) 376-7755  
601 D Street, N.W. - Room 3412

*film - production*

Supplies -

- Video tapes
- Video cassettes
- Video equipment and ancillary equipment
- Audio tape/audio equipment

Services -

- Transcription
- Off camera and On camera narration; script
- Script translation - Spanish, French, Arabic, Portuguese, etc.
- Video tape ENG/EFP crews (ENG-Electronic News Gathering;  
EFP-Electronic Field Production)

Voice of America

1. Engineering Acquisitions Management Division - VOA/EME  
Person to Contact: J. Sullivan - (202) 376-6617  
601 D Street, N.W. - Room 10008

Supplies -

- Motor vehicle parts and supplies
- Electronic parts - filters, switches, transitor, etc.
- Cable and wire

2. Office of Administration, Systems Division - VOA/AOS  
Person to Contact: Philip Casto - (202) 485-1656  
HHS-N, 330 Independence Ave., S.W. - Room 1657

Supplies -

- ADP equipment and softwares

3. Broadcast Operations, Computer Services Division - VOA/BBC  
Person to Contact: Christopher Kern - (202) 485-7022  
HHS-N, 330 Independence Ave., S.W. - Room G-748

**Supplies -**

General supplies to support the System for News and Programming  
(SNAP)

4. Office of Administration, Facilities Services Division - VOA/AOF  
Person to Contact: Wendell Shingler - (202) 485-8000  
HHS-N, 330 Independence Ave., S.W. - Room G-751

**Supplies -**

General supplies, office supplies and office furniture

**Bureau of Educational and Cultural Affairs**

1. Programs Support Division - Procurement Staff - E/CPP  
Person to Contact: Aseneth Blackwell - (202) 485-7451  
301 4th Street, S.W. - Room M22

**Supplies -**

Records - Popular, latest LP's  
Library supplies and furniture  
Microform equipment and supplies

2. Office of the Executive Director - Administrative Support Division - E/XA  
Person to Contact: Yvette Stevenson - (202) 485-2949  
301 4th Street, S.W. - Room 336

**Supplies -**

ADP Equipment

**Services -**

Graphic and art work - Layouts and illustrations  
Court reporting  
Consultant services

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#### INFORMATION ABOUT THE NATIONAL PARK SERVICE

The National Park Service was created by an Act of Congress in 1916 with a mandate to "... promote and regulate the use of the Federal areas known as national parks, monuments, and reservations hereinafter specified except such as are under the jurisdiction of the Secretary of the Army, as provided by law, by such means and measures as conform to the fundamental purpose of the said parks, monuments, and reservations which purpose is to conserve the scenery and the natural and historic objects and the wildlife therein and to provide for the enjoyment of the same in such manner and by such means as will leave them unimpaired for the enjoyment of future generations." In addition to this mandate, each park has more specific purposes defined or deduced from its authorizing legislation.

The National Park System has grown from a single park, Yellowstone, established in 1872, to a national system of approximately 335 areas. Once identified primarily with the West, there are now over half of the areas east of the Mississippi. They are classified into three general categories: natural areas, historical areas, and recreational areas. The parks in each of these categories require a special approach in the management, interpretation, and protection of the resources to insure the preservation of their features and the enjoyment of the visitors. To accomplish this mission, the Service employs more than 8,000 permanent personnel and approximately the same number of temporary seasonal personnel. This work force is comprised of specialists in the various scientific fields, interpretation, protection, and administration.

The number of areas administered by the Service is increasing as new areas are authorized by Congress. The visitation is also increasing. Approximately 250 million visits are made annually to areas of the System.



U.S. Department of the Interior  
National Park Service

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# Doing Business with the National Park Service

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## OVERVIEW

The National Park Service administers three hundred plus areas in the System. There are three principal categories used in classification; namely, natural areas, historical areas, and recreational areas. The use of the National Parks by over 250 million visitors annually makes a significant contribution to the economy of the Nation. From this enormous visitation, most benefits go to business in the form of food, lodging, and travel expenditures. Many other benefits, however, are passed on to local or national firms by way of services or supplies actually required to operate the National Park System.

The National Park Service expends approximately \$125 million annually for goods and services acquired under contract. Over 90 percent of these dollars go to small businesses. The majority of the procurement dollars are spent in the area of construction. The remainder are spent for automated data processing hardware, software and services; maintenance services; professional services (including architect and engineer services); heavy equipment and various other supply-type items.

Proposed procurements in excess of \$10,000 are advertised in the "Commerce Business Daily." This is a synopsis of U.S. Government-proposed acquisitions and contract awards and is available by writing the U.S. Department of Commerce, Commerce Business Daily Section, Office of Field Operations, Post Office Box 5999, Chicago, IL 60680. Also, you may submit a Standard Form 129, Bidders Mailing List Application, to those contracting offices within the Service with which you would like to do business and request to be placed on the Bidders Mailing List. You will then receive solicitations for those goods or services which you propose to provide.

Each contracting activity is governed by the Federal Acquisition Regulations and the Department of the Interior Acquisition Regulations (Title 48, Code of Federal Regulation), the Federal Property Management Regulations (Title 41, Code of Federal Regulation), the Federal Information Resources Management Regulations (Title 41, Code of Federal Regulation), and various other Agency regulations. These regulations govern procurement planning and requirements analysis, required sources of supply, equipment replacement (use) standards, solicitation procedures, evaluations and award processes, contract administration and closeout procedures, etc. Copies of these regulations are available to the public and may be purchased through the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

In addition, you may get information, counseling, and assistance from the Director of Business Services, GSA, at the following twelve regional locations:

Regional Office Building 7th & D Streets, S.W. Washington, D.C. 20407	U.S. Court House Building 230 South Dearborn Street Chicago, IL 60604	GSA Administration Building 1500 East Bannister Road Kansas City, MO 64131	Building 41 Denver Federal Center Denver, CO 80225
John W. McCormack Post Office and Court House Boston, MA 02109	75 Spring Street, S.W. Atlanta, GA 30303	915 Second Avenue Seattle, WA 98174	26 Federal Plaza New York, NY 10007
819 Taylor Street Fort Worth, TX 76102	9th and Market Street Philadelphia, PA 19107	525 Market Street San Francisco, CA 94105	300 N. Los Angeles Street Los Angeles, CA 90012

## BUSINESS AND ECONOMIC DEVELOPMENT PROGRAM

The Office of Minority Business Enterprise provides counseling and advice to small, disadvantaged, women-owned and minority-owned businesses on contracting opportunities within the National Park Service. This Office is also responsible for assisting the major procurement activities within the National Park Service in their efforts to increase contracting opportunities for such businesses. This applies to direct contracting and subcontracting opportunities as well as the Small Business Administration's Section 8(a) Program.

If you determine that some of the National Park Service's requirements can be fulfilled by your company's products or services, please write to the Business Utilization and Development Specialist at the appropriate procurement office address listed in this pamphlet, or you may write to the U.S. Department of the Interior, National Park Service, Minority Business Enterprise Office, P.O. Box 37127, Washington, D.C. 20013-7127.

## CONCESSION SERVICES

Within the park properties, long term contracts with businesses provide accommodations and services for visitors. These concessioners are private and therefore free to select their supply sources without regard to Federal Acquisition Regulations. For information concerning concessioners, contact Rex G. Maughan, Chairman, Conference of National Park Concessioners, P.O. Box 29041, Phoenix, AZ 85038.

## PROFESSIONAL SERVICES — ARCHITECTURAL AND ENGINEERING

Architectural and engineering work is contracted by the National Park Service, Denver Service Center, at the following location. Send SF-254 and brochures to the office listed below for consideration:

Manager  
Denver Service Center  
National Park Service  
Post Office Box 25287  
755 Parfet Street  
Denver, CO 80225

## PROFESSIONAL SERVICES — OTHER

A limited number of other professional services are contracted for by the National Park Service. Send brochures, or information, to the office where you want consideration.

## INTERPRETIVE DEVICES AND EXHIBITS

Interpretive films, museum exhibits, audio-visual arts, and other forms of NPS visitor informational products are developed or procured by the Harpers Ferry Center, National Park Service, Harpers Ferry, WV 25425.

## PHYSICAL IMPROVEMENTS

The National Park Service is a regular user of general contract work. Contracts are awarded on a competitive basis. Federal Acquisition Regulations apply. Write to the Regional Office indicated on the back for information according to the area of competition.

## GARAGES, REPAIR SHOPS, AND COMMERCIAL ACTIVITIES

The National Park Service engages in few purchases of this kind. Vehicles are rented when possible from GSA motor pools. Most supplies are purchased from local distributors.

## CLOTHING AND UNIFORMS

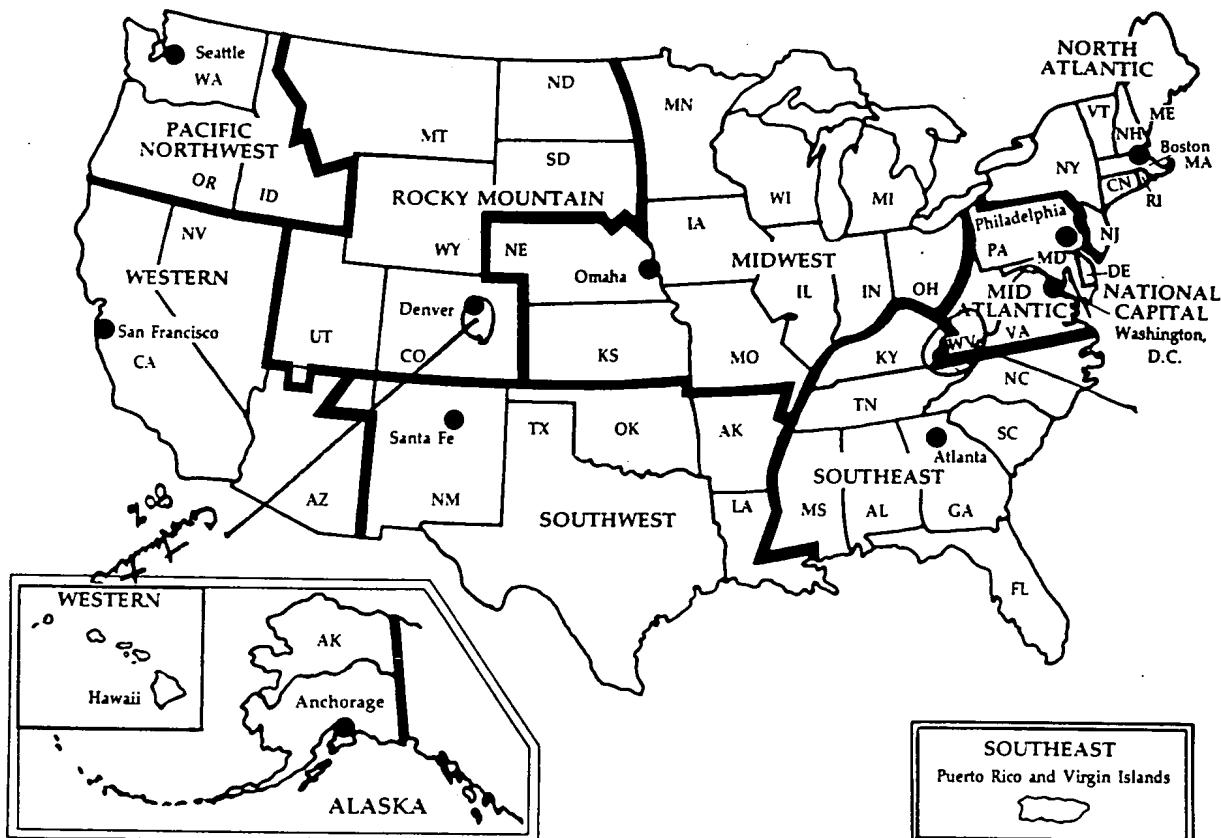
A number of NPS employees are required to wear uniforms. These purchases are made under a single Service-wide contract. This contract is competed approximately every three years.

## NATIONAL RECREATION AND PARK ASSOCIATION

Products may be exhibited before park and recreation officials during the conventions held by the National Recreation and Park Association. Write to this organization in care of Convention Manager, 3101 Park Center Drive, Alexandria, VA 22302.

*In a general folder, such as this, it is not possible to treat all situations. If you are unable to determine your specific possibilities, please present your case to:*

National Park Service  
Administrative Services Division  
P.O. Box 37127  
Washington, D.C. 20013-7127



## THE TEN NATIONAL PARK SERVICE REGIONS

Address Regional Inquiries to: NATIONAL PARK SERVICE (adding one of the following locations:)

### Alaska Region

Contracting & Property  
Management Division  
540 W. Fifth Avenue, Rm. 202  
Anchorage, AK 99501

Pacific Northwest Region  
Contracting & Property  
Management Division  
2001 Sixth Ave.  
Seattle, WA 98121

### Western Region

Contracting & General  
Services Division  
Post Office Box 36663  
San Francisco, CA 94102

Rocky Mountain Region  
Contracting & Property  
Management Division  
Post Office Box 25297  
Denver, CO 80225

### Southwest Region

Contracting & Property  
Management Division  
Box 728  
Santa Fe, NM 87501

Midwest Region  
Contracting & Property  
Management Division  
1709 Jackson Street  
Omaha, NE 68102

### Mid-Atlantic Region

Contracting & Property  
Management Division  
143 South Third Street  
Philadelphia, PA 19106

National Capital Region  
Contracting Division  
1100 Ohio Drive, S.W.  
Washington, D.C. 20242

### North Atlantic Region

Contracting & Property  
Management Division  
15 State Street  
Boston, MA 02109

Southeast Region  
Contracting & Property  
Management Division  
75 Spring Street, S.W.  
Atlanta, GA 30303

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To: x@xgate{hammes.ads@aol.com}  
Cc: "Pollock,James"@PC\_LAN\_Users.USIA,NCIV - Sherry  
Mueller@PERSONAL.E.USIA,"Ritornato,Sheilly"@PC\_LAN\_Users.USIA  
From: Fitz, Richard  
Subject: CIV Database  
Date: 02/27/98 Time: 2:46p

Terry -

As I mentioned to you several days ago, we have decided to use a "GSA Services Contract" to procure the software needed by CIVs to download relevant project and bio-data; search and select local contacts by subject; produce program books and letters; input results data; and upload contact and results data to the EVDB. The application will be written in Delphi and will probably use an Access or Foxpro database as a backend.

As you know, USIA's most immediate interest is in supporting the program functions of the CIVs. For this reason, we decided several years ago -- when we first discussed this project with Lula Rodriguez -- to focus initially on the above functions. Other functions -- such as membership, publications, promotion and accounting -- may well be added to the software in subsequent releases, depending on the interests and needs of the CIVs. These priorities have been confirmed by our CIV database working group.

Here is the information you requested on GSA services contracts:

Mr. Chuck Potelka is responsible for marketing at GSA. His phone number is (703) 305-7573. Ms. Pam Rogers is responsible for distribution of solicitations at GSA, and her phone number is (703) 305-3022. GSA's web site -- www.gsa.gov -- may also be helpful. If you are interested in competing for phase 1 of the CIV project, please send me a GSA services contract by the end of the month, so I can consider the qualifications of the company you elect to work with.

Hope this helpful!

Richard

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**FEDERAL ACQUISITION REGULATION (FAR) CLAUSES IN FULL TEXT**

**52.202-1 DEFINITIONS (OCT 1995)**

(a) "Head of the agency" (also called "agency head") or "Secretary" means the Secretary (or Attorney General, Administrator, Governor, Chairperson, or other chief official, as appropriate) of the agency, including any deputy or assistant chief official of the agency, and the term "authorized representative" means any person, persons, or board (other than the Contracting Officer) authorized to act for the head of the agency or Secretary.

(b) Commercial component means any component that is a commercial item.

(c) Commercial item means-

(1) Any item, other than real property, that is of a type customarily used for nongovernmental purposes and that-

(i) Has been sold, leased, or licensed to the general public; or

(ii) Has been offered for sale, lease, or license to the general public;

(2) Any item that evolved from an item described in paragraph (c)(1) of this clause through advances in technology or performance and that is not yet available in the commercial marketplace, but will be available in the commercial marketplace in time to satisfy the delivery requirements under a Government solicitation;

(3) Any item that would satisfy a criterion expressed in paragraphs (c)(1) or (c)(2) of this clause, but for-

(i) Modifications of a type customarily available in the commercial marketplace; or

(ii) Minor modifications of a type not customarily available in the commercial marketplace made to meet Federal Government requirements. "Minor" modifications means modifications that do not significantly alter the nongovernmental function or essential physical characteristics

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of an item or component, or change the purpose of a process.  
Factors to be considered in determining whether a modification  
is minor include

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the value and size of the modification and the comparative value and size of the final product. Dollar values and percentages may be used as guideposts, but are not conclusive evidence that a modification is minor;

(4) Any combination of items meeting the requirements of paragraphs (c)(1), (2), (3), or (5) of this clause that are of a type customarily combined and sold in combination to the general public;

(5) Installation services, maintenance services, repair services, training services, and other services if such services are procured for support of an item referred to in paragraphs (c)(1), (2), (3), or (4) of this clause, and if the source of such services-

(i) Offers such services to the general public and the Federal Government contemporaneously and under similar terms and conditions; and

(ii) Offers to use the same work force for providing the Federal Government with such services as the source uses for providing such services to the general public;

(6) Services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed under standard commercial terms and conditions. This does not include services that are sold based on hourly rates without an established catalog or market price for a specific service performed;

(7) Any item, combination of items, or service referred to in subparagraphs (c)(1) through (c)(6), notwithstanding the fact that the item, combination of items, or service is transferred between or among separate divisions, subsidiaries, or affiliates of a Contractor; or

(8) A nondevelopmental item, if the procuring agency determines the item was developed exclusively at private expense and sold in substantial quantities, on a competitive basis, to multiple State and local Governments.

(d) Component means any item supplied to the Federal Government as part of an end item or of another component.

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(e) Nondevelopmental item means—

- (1) Any previously developed item of supply used exclusively for governmental purposes by a Federal agency, a State or local government, or a foreign government with which the United States has a mutual defense cooperation agreement;
- (2) Any item described in paragraph (e)(1) of this definition that requires only minor modification or modifications of a type customarily available in the commercial marketplace in order to meet the requirements of the procuring department or agency; or
- (3) Any item of supply being produced that does not meet the requirements of paragraph (e)(1) or (e)(2) solely because the item is not yet in use.

(f) "Contracting Officer" means a person with the authority to enter into, administer, and/or terminate contracts and make related determinations and findings. The term includes certain authorized representatives of the Contracting Officer acting within the limits of their authority as delegated by the Contracting Officer.

(g) Except as otherwise provided in this contract, the term "subcontracts" includes, but is not limited to, purchase orders and changes and modifications to purchase orders under this contract.

**52.203-3 GRATUITIES (APR 1984)**

(a) The right of the Contractor to proceed may be terminated by written notice if, after notice and hearing, the agency head or a designee determines that the Contractor, its agent, or another representative—

(1) Offered or gave a gratuity (e.g., an entertainment or gift) to an officer, official, or employee of the Government; and

(2) Intended, by the gratuity, to obtain a contract or favorable treatment under a contract.

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(b) The facts supporting this determination may be reviewed by any court having lawful jurisdiction.

(c) If this contract is terminated under paragraph (a) above, the Government is entitled—

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- (1) To pursue the same remedies as in a breach of the contract; and
- (2) In addition to any other damages provided by law, to exemplary damages of not less than 3 nor more than 10 times the cost incurred by the Contractor in giving gratuities to the person concerned, as determined by the agency head or a designee. (This subparagraph (c) (2) is applicable only if this contract uses money appropriated to the Department of Defense.)
- (d) The rights and remedies of the Government provided in this clause shall not be exclusive and are in addition to any other rights and remedies provided by law or under this contract.

**52.203-6 RESTRICTIONS ON SUBCONTRACTOR SALES TO THE GOVERNMENT  
(JUL 1995) (ALTERNATE I-JUL 1995)**

- (a) Except as provided in (b) below, the Contractor shall not enter into any agreement with an actual or prospective subcontractor, nor otherwise act in any manner, which has or may have the effect of restricting sales by such subcontractors directly to the Government of any item or process (including computer software) made or furnished by the subcontractor under this contract or under any follow-on production contract.
- (b) The prohibition in paragraph (a) of this clause does not preclude the Contractor from asserting rights that are otherwise authorized by law or regulation. For acquisitions of commercial items, the prohibition in paragraph (a) applies only to the extent that any agreement restricting sales by subcontractors results in the Federal Government being treated differently from any other prospective purchaser for the sale of the commercial item(s).
- (c) The Contractor agrees to incorporate the substance of this clause, including this paragraph (c), in all subcontracts under this contract which exceed \$100.000.

**52.203-10 PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER  
ACTIVITY (JAN 1997)**

Price or Fee Adjustment for Illegal or Improper Activity  
(Jan 1997)

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(a) The Government, at its election, may reduce the price of a fixed-price type contract and the total cost and fee under a cost-type contract by the amount of profit or fee determined as

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set forth in paragraph (b) of this clause if the head of the contracting activity or designee determines that there was a violation of subsection 27(a), (b), or (c) of the Office of Federal Procurement Policy Act, as amended (41 U.S.C. 423), as implemented in section 3.104 of the Federal Acquisition Regulation.

(b) The price or fee reduction referred to in paragraph (a) of this clause shall be--

(1) For cost-plus-fixed-fee contracts, the amount of the fee specified in the contract at the time of award;

(2) For cost-plus-incentive-fee contracts, the target fee specified in the contract at the time of award, notwithstanding any minimum fee or "fee floor" specified in the contract;

(3) For cost-plus-award-fee contracts--

(i) The base fee established in the contract at the time of contract award;

(ii) If no base fee is specified in the contract, 30 percent of the amount of each award fee otherwise payable to the Contractor for each award fee evaluation period or at each award fee determination point.

(4) For fixed-price-incentive contracts, the Government may-

(i) Reduce the contract target price and contract target profit both by an amount equal to the initial target profit specified in the contract at the time of contract award; or

(ii) If an immediate adjustment to the contract target price and contract target profit would have a significant adverse impact on the incentive price revision relationship under the contract, or adversely affect the contract financing provisions, the Contracting Officer may defer such adjustment until establishment of the total final price of the contract. The total final price established in accordance with the incentive price revision provisions of the contract shall be reduced by an amount equal to the initial target profit

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specified in the contract at the time of contract award and such reduced price shall be the total final contract price.

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(5) For firm-fixed-price contracts, by 10 percent of the initial contract price or a profit amount determined by the Contracting Officer from records or documents in existence prior to the date of the contract award.

(c) The Government may, at its election, reduce a prime contractor's price or fee in accordance with the procedures of paragraph (b) of this clause for violations of the Act by its subcontractors by an amount not to exceed the amount of profit or fee reflected in the subcontract at the time the subcontract was first definitively priced.

(d) In addition to the remedies in paragraphs (a) and (c) of this clause, the Government may terminate this contract for default. The rights and remedies of the Government specified herein are not exclusive, and are in addition to any other rights and remedies provided by law or under this contract.

**52.204-4 PRINTING/COPYING DOUBLE-SIDED ON RECYCLED PAPER  
(JUN 1996)**

(a) In accordance with Executive Order 12873, dated October 20, 1993, as amended by Executive Order 12995, dated March 25, 1996, the Offeror/Contractor is encouraged to submit paper documents, such as offers, letters, or reports, that are printed/copied double-sided on recycled paper that has at least 20 percent postconsumer material.

(b) The 20 percent standard applies to high-speed copier paper, offset paper, forms bond, computer printout paper, carbonless paper, file folders, white woven envelopes, and other uncoated printed and writing paper, such as writing and office paper, book paper, cotton fiber paper, and cover stock. An alternative to meeting the 20 percent postconsumer material standard is 50 percent recovered material content of certain industrial by-products.

**52.209-6 PROTECTING THE GOVERNMENT'S INTEREST WHEN  
SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED,  
OR PROPOSED FOR DEBARMENT (JUL 1995)**

(a) The Government suspends or debars Contractors to protect the Government's interests. The Contractor shall not enter into

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any subcontract in excess of \$25,000 with a Contractor that is debarred, suspended, or proposed for debarment unless there is a compelling reason to do so.

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(b) The Contractor shall require each proposed first-tier subcontractor, whose subcontract will exceed \$25,000, to disclose to the Contractor, in writing, whether as of the time of award of the subcontract, the subcontractor, or its principals, is or is not debarred, suspended, or proposed for debarment by the Federal Government.

(c) A corporate officer or a designee of the Contractor shall notify the Contracting Officer, in writing, before entering into a subcontract with a party that is debarred, suspended, or proposed for debarment (see FAR 9.404 for information on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs). The notice must include the following:

(1) The name of the subcontractor.

(2) The Contractor's knowledge of the reasons for the subcontractor being on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

(3) The compelling reason(s) for doing business with the subcontractor notwithstanding its inclusion on the List of Parties Excluded From Federal Procurement and Nonprocurement Programs.

(4) The systems and procedures the Contractor has established to ensure that it is fully protecting the Government's interests when dealing with such subcontractor in view of the specific basis for the party's debarment, suspension, or proposed debarment.

**52.212-1 INSTRUCTIONS TO OFFERORS--COMMERCIAL ITEMS (JUN 1997)**

(a) Standard industrial classification (SIC) code and small business size standard. The SIC code and small business size standard for this acquisition appear in Block 10 of the solicitation cover sheet (SF 1449). However, the small business size standard for a concern which submits an offer in its own name, but which proposes to furnish an item which it did not itself manufacture, is 500 employees.

(b) Submission of offers. Submit signed and dated offers to the office specified in this solicitation at or before the exact

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time specified in this solicitation. Offers may be submitted on the SF 1449, letterhead stationery, or as otherwise specified in the solicitation. As a minimum, offers must show-

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- (1) The solicitation number;
  - (2) The time specified in the solicitation for receipt of offers;
  - (3) The name, address, and telephone number of the offeror;
  - (4) A technical description of the items being offered in sufficient detail to evaluate compliance with the requirements in the solicitation. This may include product literature, or other documents, if necessary;
  - (5) Terms of any express warranty;
  - (6) Price and any discount terms;
  - (7) "Remit to" address, if different than mailing address;
  - (8) A completed copy of the representations and certifications at FAR 52.212-3;
  - (9) Acknowledgment of Solicitation Amendments;
  - (10) Past performance information, when included as an evaluation factor, to include recent and relevant contracts for the same or similar items and other references (including contract numbers, points of contact with telephone numbers and other relevant information); and
  - (11) If the offer is not submitted on the SF 1449, include a statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation. Offers that fail to furnish required representations or information, or reject the terms and conditions of the solicitation may be excluded from consideration.
- (c) Period for acceptance of offers. The offeror agrees to hold the prices in its offer firm for 30 calendar days from the date specified for receipt of offers, unless another time period is specified in an addendum to the solicitation.
- (d) Product samples. When required by the solicitation, product samples shall be submitted at or prior to the time specified for receipt of offers. Unless otherwise specified in

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this solicitation, these samples shall be submitted at no expense to the Government, and returned at the sender's request and expense, unless they are destroyed during preaward testing.

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(e) Multiple offers. Offerors are encouraged to submit multiple offers presenting alternative terms and conditions or commercial items for satisfying the requirements of this solicitation. Each offer submitted will be evaluated separately.

(f) Late offers. Offers or modifications of offers received at the address specified for the receipt of offers after the exact time specified for receipt of offers will not be considered.

(g) Contract award (not applicable to Invitation for Bids). The Government intends to evaluate offers and award a contract without discussions with offerors. Therefore, the offeror's initial offer should contain the offeror's best terms from a price and technical standpoint. However, the Government reserves the right to conduct discussions if later determined by the Contracting Officer to be necessary. The Government may reject any or all offers if such action is in the public interest; accept other than the lowest offer; and waive informalities and minor irregularities in offers received.

(h) Multiple awards. The Government may accept any item or group of items of an offer, unless the offeror qualifies the offer by specific limitations. Unless otherwise provided in the Schedule, offers may not be submitted for quantities less than those specified. The Government reserves the right to make an award on any item for a quantity less than the quantity offered, at the unit prices offered, unless the offeror specifies otherwise in the offer.

(i) Availability of requirements documents cited in the solicitation.

(1) The Index of Federal Specifications, Standards and Commercial Item Descriptions and the documents listed in it may be obtained from the General Services Administration, Federal Supply Service Bureau, Specifications Section, Suite 8100, 470 L'Enfant Plaza, SW., Washington, DC 20407 ((202) 619-8925).

(2) The DOD Index of Specifications and Standards (DODISS) and documents listed in it may be obtained from the Standardization Documents Desk, Building 4D, 700 Robbins Avenue, Philadelphia, PA 19111-5094 (telephone (215) 697-2569).

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(i) Automatic distribution may be obtained on a  
subscription basis.

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(ii) Individual documents may be ordered from the Telespecs ordering system by touch-tone telephone. A customer number is required to use this service and can be obtained from the Standardization Documents Order Desk or the Special Assistance Desk (telephone (610) 607-2667/2179).

(3) Nongovernment (voluntary) standards must be obtained from the organization responsible for their preparation, publication or maintenance.

**52.214-34 SUBMISSION OF OFFERS IN THE ENGLISH LANGUAGE (APR 1991)**

Offers submitted in response to this solicitation shall be in the English language. Offers received in other than English shall be rejected.

**52.214-35 SUBMISSION OF OFFERS IN U.S. CURRENCY (APR 1991)**

Offers submitted in response to this solicitation shall be in terms of U.S. dollars. Offers received in other than U.S. dollars shall be rejected.

**52.219-8 UTILIZATION OF SMALL, SMALL DISADVANTAGED AND WOMEN-OWNED SMALL BUSINESS CONCERN (JUN 1997)**

(a) It is the policy of the United States that small business concerns, small business concerns owned and controlled by socially and economically disadvantaged individuals and small business concerns owned and controlled by women shall have the maximum practicable opportunity to participate in performing contracts let by any Federal agency, including contracts and subcontracts for subsystems, assemblies, components, and related services for major systems. It is further the policy of the United States that its prime contractors establish procedures to ensure the timely payment of amounts due pursuant to the terms of their subcontracts with small business concerns, small business concerns owned and controlled by socially and economically disadvantaged individuals and small business concerns owned and controlled by women.

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(b) The Contractor hereby agrees to carry out this policy in the awarding of subcontracts to the fullest extent consistent with efficient contract performance. The Contractor further agrees to cooperate in any studies or surveys as may be conducted by the

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United States Small Business Administration or the awarding agency of the United States as may be necessary to determine the extent of the Contractor's compliance with this clause.

(c) As used in this contract, the term "small business concern" shall mean a small business as defined pursuant to section 3 of the Small Business Act and relevant regulations promulgated pursuant thereto. The term "small business concern owned and controlled by socially and economically disadvantaged individuals" shall mean a small business concern (1) which is at least 51 percent unconditionally owned by one or more socially and economically disadvantaged individuals; or, in the case of any publicly owned business, at least 51 per centum of the stock of which is unconditionally owned by one or more socially and economically disadvantaged individuals; and (2) whose management and daily business operations are controlled by one or more of such individuals. This term also means a small business concern that is at least 51 percent unconditionally owned by an economically disadvantaged Indian tribe or Native Hawaiian Organization, or a publicly owned business having at least 51 percent of its stock unconditionally owned by one of these entities which has its management and daily business controlled by members of an economically disadvantaged Indian tribe or Native Hawaiian Organization, and which meets the requirements of 13 CFR 124. The Contractor shall presume that socially and economically disadvantaged individuals include Black Americans, Hispanic Americans, Native Americans, Asian-Pacific Americans, Subcontinent Asian Americans, and other minorities, or any other individual found to be disadvantaged by the Administration pursuant to section 8(a) of the Small Business Act. The Contractor shall presume that socially and economically disadvantaged entities also include Indian Tribes and Native Hawaiian Organizations.

(d) The term "small business concern owned and controlled by women" shall mean a small business concern--

(1) Which is at least 51 percent owned by one or more women, or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and

(2) Whose management and daily business operations are controlled by one or more women; and

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(e) Contractors acting in good faith may rely on written representations by their subcontractors regarding their status as a small business concern, a small business concern owned and controlled by socially and economically disadvantaged individuals or a small business concern owned and controlled by women.

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**52.219-9 SMALL, SMALL DISADVANTAGED AND WOMEN-OWNED SMALL BUSINESS SUBCONTRACTING PLAN (AUG 1996)**

- (a) This clause does not apply to small business concerns.
- (b) "Commercial product," as used in this clause, means a product in regular production that is sold in substantial quantities to the general public and/or industry at established catalog or market prices. It also means a product which, in the opinion of the Contracting Officer, differs only insignificantly from the Contractor's commercial product.

"Subcontract," as used in this clause, means any agreement (other than one involving an employer-employee relationship) entered into by a Federal Government prime Contractor or subcontractor calling for supplies or services required for performance of the contract or subcontract.

- (c) The Offeror, upon request by the Contracting Officer, shall submit and negotiate a subcontracting plan, where applicable, which separately addresses subcontracting with small business concerns, with small disadvantaged business concerns, and with women-owned small business concerns. If the Offeror is submitting an individual contract plan, the plan must separately address subcontracting with small business concerns, small disadvantaged business concerns, and women-owned small business concerns with a separate part for the basic contract and separate parts for each option (if any). The plan shall be included in and made a part of the resultant contract. The subcontracting plan shall be negotiated within the time specified by the Contracting Officer. Failure to submit and negotiate the subcontracting plan shall make the Offeror ineligible for award of a contract.

- (d) The Offeror's subcontracting plan shall include the following:

- (1) Goals, expressed in terms of percentages of total planned subcontracting dollars, for the use of small business concerns, small disadvantaged business concerns and women-owned small business concerns as subcontractors. The Offeror shall include all subcontracts that contribute to contract performance, and may include a proportionate share of products and services that are normally allocated as indirect costs.

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(2) A statement of--

- (i) Total dollars planned to be subcontracted;
- (ii) Total dollars planned to be subcontracted to small business concerns;
- (iii) Total dollars planned to be subcontracted to small disadvantaged business concerns; and
- (iv) Total dollars planned to be subcontracted to women-owned small business concerns.

(3) A description of the principal types of supplies and services to be subcontracted, and an identification of the types planned for subcontracting to-

- (i) Small business concerns;
- (ii) Small disadvantaged business concerns; and
- (iii) Women-owned small business concerns.

(4) A description of the method used to develop the subcontracting goals in paragraph (d)(1) of this clause.

(5) A description of the method used to identify potential sources for solicitation purposes (e.g., existing company source lists, the Procurement Automated Source System (PASS) of the Small Business Administration, the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, or small, small disadvantaged, and women-owned small business concerns trade associations). A firm may rely on the information contained in PASS as an accurate representation of a concern's size and ownership characteristics for purposes of maintaining a small business source list. A firm may rely on PASS as its small business source list. Use of the PASS as its source list does not relieve a firm of its responsibilities (e.g., outreach, assistance, counseling, publicizing subcontracting opportunities) in this clause.

(6) A statement as to whether or not the Offeror included indirect costs in establishing subcontracting goals, and a

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description of the method used to determine the proportionate  
share of indirect costs to be incurred with-

- (i) Small business concerns;

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(ii) Small disadvantaged business concerns; and

(iii) Women-owned small business concerns.

(7) The name of the individual employed by the Offeror who will administer the Offeror's subcontracting program, and a description of the duties of the individual.

(8) A description of the efforts the Offeror will make to assure that small, small disadvantaged and women-owned small business concerns have an equitable opportunity to compete for subcontracts.

(9) Assurances that the Offeror will include the clause in this contract entitled "Utilization of Small, Small Disadvantaged and Women-Owned Small Business Concerns" in all subcontracts that offer further subcontracting opportunities, and that the Offeror will require all subcontractors (except small business concerns) who receive subcontracts in excess of \$500,000 (\$1,000,000 for construction of any public facility) to adopt a plan similar to the plan agreed to by the Offeror.

(10) Assurances that the Offeror will-

(i) Cooperate in any studies or surveys as may be required;

(ii) Submit periodic reports in order to allow the Government to determine the extent of compliance by the Offeror with the subcontracting plan;

(iii) Submit Standard Form (SF) 294, Subcontracting Report for Individual Contracts, and/or SF 295, Summary Subcontract Report, in accordance with the instructions on the forms; and

(iv) Ensure that its subcontractors agree to submit Standard Forms 294 and 295.

(11) A recitation of the types of records the Offeror will maintain to demonstrate procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of its efforts to locate small, small disadvantaged and women-owned small business concerns and award subcontracts to them. The records shall

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include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):

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(i) Source lists (e.g., PASS), guides, and other data that identify small, small disadvantaged and women-owned small business concerns.

(ii) Organizations contacted in an attempt to locate sources that are small, small disadvantaged, or women-owned small business concerns.

(iii) Records on each subcontract solicitation resulting in an award of more than \$100,000, indicating-

(A) Whether small business concerns were solicited and if not, why not;

(B) Whether small disadvantaged business concerns were solicited and if not, why not;

(C) Whether women-owned small business concerns were solicited and if not, why not; and

(D) If applicable, the reason award was not made to a small business concern.

(iv) Records of any outreach efforts to contact-

(A) Trade associations;

(B) Business development organizations; and

(C) Conferences and trade fairs to locate small, small disadvantaged and women-owned small business sources.

(v) Records of internal guidance and encouragement provided to buyers through-

(A) Workshops, seminars, training, etc., and

(B) Monitoring performance to evaluate compliance with the program's requirements.

(vi) On a contract-by-contract basis, records to support award data submitted by the Offeror to the Government, including the name, address, and business size of each subcontractor. Contractors having company or division-wide annual plans need not comply with this requirement.

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(e) In order to effectively implement this plan to the extent consistent with efficient contract performance, the Contractor shall perform the following functions:

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(1) Assist small, small disadvantaged and women-owned small business concerns by arranging solicitations, time for the preparation of bids, quantities, specifications, and delivery schedules so as to facilitate the participation by such concerns. Where the Contractor's lists of potential small, small disadvantaged and women-owned small business subcontractors are excessively long, reasonable efforts shall be made to give all such small business concerns an opportunity to compete over a period of time.

(2) Provide adequate and timely consideration of the potentialities of small, small disadvantaged and women-owned small business concerns in all "make-or-buy" decisions.

(3) Counsel and discuss subcontracting opportunities with representatives of small, small disadvantaged and women-owned small business firms.

(4) Provide notice to subcontractors concerning penalties and remedies for misrepresentations of business status as small, small disadvantaged or women-owned small business for the purpose of obtaining a subcontract that is to be included as part or all of a goal contained in the Contractor's subcontracting plan.

(f) A master subcontracting plan on a plant or division-wide basis which contains all the elements required by paragraph (d) of this clause, except goals, may be incorporated by reference as a part of the subcontracting plan required of the Offeror by this clause; provided—

(1) The master plan has been approved;

(2) The Offeror ensures that the master plan is updated as necessary and provides copies of the approved master plan, including evidence of its approval, to the Contracting Officer; and

(3) Goals and any deviations from the master plan deemed necessary by the Contracting Officer to satisfy the requirements of this contract are set forth in the individual subcontracting plan.

(g)(1) If a commercial product is offered, the subcontracting plan required by this clause may relate to the Offeror's

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production generally, for both commercial and noncommercial products, rather than solely to the Government contract. In these cases, the Offeror shall, with the concurrence of the Contracting Officer, submit one company-wide or division-wide annual plan.

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(2) The annual plan shall be reviewed for approval by the agency awarding the Offeror its first prime contract requiring a subcontracting plan during the fiscal year, or by an agency satisfactory to the Contracting Officer.

(3) The approved plan shall remain in effect during the Offeror's fiscal year for all of the Offeror's commercial products.

(h) Prior compliance of the Offeror with other such subcontracting plans under previous contracts will be considered by the Contracting Officer in determining the responsibility of the Offeror for award of the contract.

(i) The failure of the Contractor or subcontractor to comply in good faith with (1) the clause of this contract entitled "Utilization of Small, Small Disadvantaged and Women-Owned Small Business Concerns," or (2) an approved plan required by this clause, shall be a material breach of the contract.

**52.219-16 LIQUIDATED DAMAGES--SUBCONTRACTING PLAN (OCT 1995)**

(a) "Failure to make a good faith effort to comply with the subcontracting plan", as used in this clause, means a willful or intentional failure to perform in accordance with the requirements of the subcontracting plan approved under the clause in this contract entitled "Small, Small Disadvantaged and Women-Owned Small Business Subcontracting Plan," or willful or intentional action to frustrate the plan.

(b) If, at contract completion, or in the case of a commercial product plan, at the close of the fiscal year for which the plan is applicable, the Contractor has failed to meet its subcontracting goals and the Contracting Officer decides in accordance with paragraph (c) of this clause that the Contractor failed to make a good faith effort to comply with its subcontracting plan, established in accordance with the clause in this contract entitled "Small, Small Disadvantaged and Women-Owned Small Business Subcontracting Plan," the Contractor shall pay the Government liquidated damages in an amount stated. The amount of probable damages attributable to the Contractor's failure to comply, shall be an amount equal to the actual dollar amount by which the Contractor failed to achieve each subcontract goal or, in the case of a commercial products plan,

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that portion of the dollar amount allocable to Government contracts by which the Contractor failed to achieve each subcontract goal.

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(c) Before the Contracting Officer makes a final decision that the Contractor has failed to make such good faith effort, the Contracting Officer shall give the Contractor written notice specifying the failure and permitting the Contractor to demonstrate what good faith efforts have been made. Failure to respond to the notice may be taken as an admission that no valid explanation exists. If, after consideration of all the pertinent data, the Contracting Officer finds that the Contractor failed to make a good faith effort to comply with the subcontracting plan, the Contracting Officer shall issue a final decision to that effect and require that the Contractor pay the Government liquidated damages as provided in paragraph (b) of this clause.

(d) With respect to commercial product plans; i.e., company-wide or division-wide subcontracting plans approved under paragraph (g) of the clause in this contract entitled "Small, Small Disadvantaged and Women-Owned Small Business Subcontracting Plan," the Contracting Officer of the agency that originally approved the plan will exercise the functions of the Contracting Officer under this clause on behalf of all agencies that awarded contracts covered by that commercial product plan.

(e) The Contractor shall have the right of appeal, under the clause in this contract entitled, Disputes, from any final decision of the Contracting Officer.

(f) Liquidated damages shall be in addition to any other remedies that the Government may have.

**52.222-1 NOTICE TO THE GOVERNMENT OF LABOR DISPUTES (FEB 1997)**

If the Contractor has knowledge that any actual or potential labor dispute is delaying or threatens to delay the timely performance of this contract, the Contractor shall immediately give notice, including all relevant information, to the Contracting Officer.

**52.222-3 CONVICT LABOR (AUG 1996)**

The Contractor agrees not to employ in the performance of this contract any person undergoing a sentence of imprisonment which has been imposed by any court of a State, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands,

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Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, or the Trust Territory of the Pacific Islands. This

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limitation, however, shall not prohibit the employment by the Contractor in the performance of this contract of persons on parole or probation to work at paid employment during the term of their sentence or persons who have been pardoned or who have served their terms. Nor shall it prohibit the employment by the Contractor in the performance of this contract of persons confined for violation of the laws of any of the States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, or the Trust Territory of the Pacific Islands who are authorized to work at paid employment in the community under the laws of such jurisdiction, if--

(a) (1) The worker is paid or is in an approved work training program on a voluntary basis;

(2) Representatives of local union central bodies or similar labor union organizations have been consulted;

(3) Such paid employment will not result in the displacement of employed workers, or be applied in skills, crafts, or trades in which there is a surplus of available gainful labor in the locality, or impair existing contracts for services; and

(4) The rates of pay and other conditions of employment will not be less than those paid or provided for work of a similar nature in the locality in which the work is being performed; and

(b) The Attorney General of the United States has certified that the work-release laws or regulations of the jurisdiction involved are in conformity with the requirements of Executive Order 11755, as amended by Executive Orders 12608 and 12943.

**52.222-26 EQUAL OPPORTUNITY (APR 1984)**

(a) If, during any 12-month period (including the 12 months preceding the award of this contract), the Contractor has been or is awarded nonexempt Federal contracts and/or subcontracts that have an aggregate value in excess of \$10,000, the Contractor shall comply with subparagraphs (b)(1) through (11) below. Upon request, the Contractor shall provide information necessary to determine the applicability of this clause.

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(b) During performing this contract, the Contractor agrees as follows:

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(1) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.

(2) The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, or national origin. This shall include, but not be limited to--

- (i) Employment;
- (ii) Upgrading;
- (iii) Demotion;
- (iv) Transfer;
- (v) Recruitment or recruitment advertising;
- (vi) Layoff or termination;
- (vii) Rates of pay or other forms of compensation; and
- (viii) Selection for training, including apprenticeship.

(3) The Contractor shall post in conspicuous places available to employees and applicants for employment the notices to be provided by the Contracting Officer that explain this clause.

(4) The Contractor shall, in all solicitations or advertisement for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, or national origin.

(5) The Contractor shall send, to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, the notice to be provided by the Contracting Officer advising the labor union or workers' representative of the Contractor's commitments under this clause, and post copies of the notice in conspicuous places available to employees and applicants for employment.

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(6) The Contractor shall comply with Executive Order 11246, as amended, and the rules, regulations, and orders of the Secretary of Labor.

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(7) The Contractor shall furnish to the contracting agency all information required by Executive Order 11246, as amended, and by the rules, regulations, and orders of the Secretary of Labor. Standard Form 100 (EEO-1), or any successor form, is the prescribed form to be filed within 30 days following the award, unless filed within 12 months preceding the date of award.

(8) The Contractor shall permit access to its books, records, and accounts by the contracting agency or the Office of Federal Contract Compliance Programs (OFCCP) for the purposes of investigation to ascertain the Contractor's compliance with the applicable rules, regulations, and orders.

(9) If the OFCCP determines that the Contractor is not in compliance with this clause or any rule, regulation, or order of the Secretary of Labor, this contract may be canceled, terminated, or suspended in whole or in part and the Contractor may be declared ineligible for further Government contracts, under the procedures authorized in Executive Order 11246, as amended. In addition, sanctions may be imposed and remedies invoked against the Contractor as provided in Executive Order 11246, as amended, the rules, regulations, and orders of the Secretary of Labor, or as otherwise provided by law.

(10) The Contractor shall include the terms and conditions of subparagraph (b) (1) through (11) of this clause in every subcontract or purchase order that is not exempted by the rules, regulations, or orders of the Secretary of Labor issued under Executive Order 11246, as amended, so that these terms and conditions will be binding upon each subcontractor or vendor.

(11) The Contractor shall take such action with respect to any subcontract or purchase order as the contracting agency may direct as a means of enforcing these terms and conditions, including sanctions for noncompliance; provided, that if the Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of any direction, the Contractor may request the United States to enter into the litigation to protect the interests of the United States.

(c) Notwithstanding any other clause in this contract, disputes relative to this clause will be governed by the procedures in 41 CFR 60-1.1.

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**52.222-35 AFFIRMATIVE ACTION FOR SPECIAL DISABLED AND VIETNAM  
ERA VETERANS (APR 1984)**

(a) Definitions.

"Appropriate office of the State employment service system," as used in this clause, means the local office of the Federal-State national system of public employment offices assigned to serve the area where the employment opening is to be filled, including the District of Columbia, Guam, Puerto Rico, Virgin Islands, American Samoa, and the Trust Territory of the Pacific Islands.

"Openings that the Contractor proposes to fill from within its own organization," as used in this clause, means employment openings for which no one outside the Contractor's organization (including any affiliates, subsidiaries, and the parent companies) will be considered and includes any openings that the Contractor proposes to fill from regularly established "recall" lists.

"Openings that the Contractor proposes to fill under a customary and traditional employer-union hiring arrangement," as used in this clause, means employment openings that the Contractor proposes to fill from union halls, under their customary and traditional employer-union hiring relationship.

"Suitable employment openings," as used in this clause--

(1) Includes, but is not limited to, openings that occur in jobs categorized as--

(i) Production and nonproduction;

(ii) Plant and office;

(iii) Laborers and mechanics;

(iv) Supervisory and nonsupervisory;

(v) Technical; and

(vi) Executive, administrative, and professional positions compensated on a salary basis of less than \$25,000 a year; and

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(2) Includes full-time employment, temporary employment of over 3 days, and part-time employment, but not openings that the Contractor proposes to fill from within its own organization or under a customary and traditional employer-union hiring arrangement, nor openings in an educational institution that are restricted to students of that institution.

(b) General. (1) Regarding any position for which the employee or applicant for employment is qualified, the Contractor shall not discriminate against the individual because the individual is a special disabled or Vietnam Era veteran. The Contractor agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified special disabled and Vietnam Era veterans without discrimination based upon their disability or veterans' status in all employment practices such as--

- (i) Employment;
- (ii) Upgrading;
- (iii) Demotion or transfer;
- (iv) Recruitment;
- (v) Advertising;
- (vi) Layoff or termination;
- (vii) Rates of pay or other forms of compensation; and
- (viii) Selection for training, including apprenticeship.

(2) The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor (Secretary) issued under the Vietnam Era Veterans' Readjustment Assistance Act of 1972 (the Act), as amended.

(c) Listing openings. (1) The Contractor agrees to list all suitable employment openings existing at contract award or occurring during contract performance, at an appropriate office of the State employment service system in the locality where the opening occurs. These openings include those occurring at any Contractor facility, including one not connected with performing

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this contract. An independent corporate affiliate is exempt from  
this requirement.

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(2) State and local government agencies holding Federal contracts of \$10,000 or more shall also list all their suitable openings with the appropriate office of the State employment service.

(3) The listing of suitable employment openings with the State employment service system is required at least concurrently with using any other recruitment source or effort and involves the obligations of placing a bona fide job order, including accepting referrals of veterans and nonveterans. This listing does not require hiring any particular job applicant or hiring from any particular group of job applicants and is not intended to relieve the Contractor from any requirements of Executive orders or regulations concerning nondiscrimination in employment.

(4) Whenever the Contractor becomes contractually bound to the listing terms of this clause, it shall advise the State employment service system, in each State where it has establishments, of the name and location of each hiring location in the State. As long as the Contractor is contractually bound to these terms and has so advised the State system, it need not advise the State system of subsequent contracts. The Contractor may advise the State system when it is no longer bound by this contract clause.

(5) Under the most compelling circumstances, an employment opening may not be suitable for listing, including situations when--

(i) The Government's needs cannot reasonably be supplied;

(ii) Listing would be contrary to national security;  
or

(iii) The requirement of listing would not be in the Government's interest.

(d) Applicability. (1) This clause does not apply to the listing of employment openings which occur and are filled outside the 50 States, the District of Columbia, Puerto Rico, Guam, Virgin Islands, American Samoa, and the Trust Territory of the Pacific Islands.

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(2) The terms of paragraph (c) above of this clause do not apply to openings that the Contractor proposes to fill from within its own organization or under a customary and traditional employer-union hiring arrangement. This exclusion does not apply

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to a particular opening once an employer decides to consider applicants outside of its own organization or employer-union arrangement for that opening.

(e) Postings. (1) The Contractor agrees to post employment notices stating--

(i) The Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified special disabled veterans and veterans of the Vietnam era; and

(ii) The rights of applicants and employees.

(2) These notices shall be posted in conspicuous places that are available to employees and applicants for employment. They shall be in a form prescribed by the Director, Office of Federal Contract Compliance Programs, Department of Labor (Director), and provided by or through the Contracting Officer.

(3) The Contractor shall notify each labor union or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the Contractor is bound by the terms of the Act, and is committed to take affirmative action to employ, and advance in employment, qualified special disabled and Vietnam Era veterans.

(f) Noncompliance. If the Contractor does not comply with the requirements of this clause, appropriate actions may be taken under the rules, regulations, and relevant orders of the Secretary issued pursuant to the Act.

(g) Subcontracts. The Contractor shall include the terms of this clause in every subcontract or purchase order of \$10,000 or more unless exempted by rules, regulations, or orders of the Secretary. The Contractor shall act as specified by the Director to enforce the terms, including action for noncompliance.

(End of clause)

**52.222-36 AFFIRMATIVE ACTION FOR HANDICAPPED WORKERS (APR 1984)**

(a) General. (1) Regarding any position for which the employee or applicant for employment is qualified, the Contractor shall not discriminate against any employee or applicant because of physical or mental handicap. The Contractor agrees to take

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affirmative action to employ, advance in employment, and

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otherwise treat qualified handicapped individuals without discrimination based upon their physical or mental handicap in all employment practices such as--

- (i) Employment;
- (ii) Upgrading;
- (iii) Demotion or transfer;
- (iv) Recruitment;
- (v) Advertising;
- (vi) Layoff or termination;
- (vii) Rates of pay or other forms of compensation; and
- (viii) Selection for training, including apprenticeship.

(2) The Contractor agrees to comply with the rules, regulations, and relevant orders of the Secretary of Labor (Secretary) issued under the Rehabilitation Act of 1973 (29 U.S.C. 793) (the Act), as amended.

(b) Postings. (1) The Contractor agrees to post employment notices stating--

(i) The Contractor's obligation under the law to take affirmative action to employ and advance in employment qualified handicapped individuals; and

(ii) The rights of applicants and employees.

(2) These notices shall be posted in conspicuous places that are available to employees and applicants for employment. They shall be in a form prescribed by the Director, Office of Federal Contract Compliance Programs, Department of Labor (Director), and provided by or through the Contracting Officer.

(3) The Contractor shall notify each labor union or representative of workers with which it has a collective bargaining agreement or other contract understanding, that the Contractor is bound by the terms of Section 503 of the Act and is committed to take affirmative action to employ, and advance

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in employment, qualified physically and mentally handicapped individuals.

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(c) Noncompliance. If the Contractor does not comply with the requirements of this clause, appropriate actions may be taken under the rules, regulations, and relevant orders of the Secretary issued pursuant to the Act.

(d) Subcontracts. The Contractor shall include the terms of this clause in every subcontract or purchase order in excess of \$2,500 unless exempted by rules, regulations, or orders of the Secretary. The Contractor shall act as specified by the Director to enforce the terms, including action for noncompliance.

**52.222-37 EMPLOYMENT REPORTS ON SPECIAL DISABLED VETERANS AND VETERANS OF THE VIETNAM ERA (JAN 1988)**

(a) The contractor shall report at least annually, as required by the Secretary of Labor, on:

(1) The number of special disabled veterans and the number of veterans of the Vietnam era in the workforce of the contractor by job category and hiring location; and

(2) The total number of new employees hired during the period covered by the report, and of that total, the number of special disabled veterans, and the number of veterans of the Vietnam era.

(b) The above items shall be reported by completing the form entitled "Federal Contractor Veterans' Employment Report VETS-100."

(c) Reports shall be submitted no later than March 31 of each year beginning March 31, 1988.

(d) The employment activity report required by paragraph (a)(2) of this clause shall reflect total hires during the most recent 12-month period as of the ending date selected for the employment profile report required by paragraph (a)(1) of this clause. Contractors may select an ending date:

(1) As of the end of any pay period during the period January through March 1st of the year the report is due, or

(2) As of December 31, if the contractor has previous written approval from the Equal Employment Opportunity

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Commission to do so for purposes of submitting the Employer  
Information Report EEO-1 (Standard Form 100).

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(e) The count of veterans reported according to paragraph (a) of this clause shall be based on voluntary disclosure. Each contractor subject to the reporting requirements at 38 U.S.C. 2012(d) shall invite all special disabled veterans and veterans of the Vietnam era who wish to benefit under the affirmative action program at 38 U.S.C. 2012 to identify themselves to the contractor. The invitation shall state that the information is voluntarily provided, that the information will be kept confidential, that disclosure or refusal to provide the information will not subject the applicant or employee to any adverse treatment and that the information will be used only in accordance with the regulations promulgated under 38 U.S.C. 2012.

(f) Subcontracts. The Contractor shall include the terms of this clause in every subcontract or purchase order of \$10,000 or more unless exempted by rules, regulations, or orders of the Secretary.

**52.222-46 EVALUATION OF COMPENSATION FOR PROFESSIONAL EMPLOYEES.  
(FEB 1993)**

(a) Recompetition of service contracts may in some cases result in lowering the compensation (salaries and fringe benefits) paid or furnished professional employees. This lowering can be detrimental in obtaining the quality of professional services needed for adequate contract performance. It is therefore in the Government's best interest that professional employees, as defined in 29 CFR 541, be properly and fairly compensated.. As part of their proposals, offerors will submit a total compensation plan setting forth salaries and fringe benefits proposed for the professional employees who will work under the contract. The Government will evaluate the plan to assure that it reflects a sound management approach and understanding of the evaluation will include an assessment of the offeror's ability to provide uninterrupted high-quality work. The professional compensation proposed will be considered in terms of its impact upon recruiting and retention, its realism, and its consistency with a total plan for compensation. Supporting information will include data, such as recognized national and regional compensation surveys and studies of professional, public and private organizations, used in establishing the total compensation structure.

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(b) The compensation levels proposed should reflect a clear understanding of work to be performed and should indicate the capability of the proposed compensation structure to obtain and

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keep suitably qualified personnel to meet mission objectives. The account differences in skills, the complexity of various disciplines, and professional job difficulty. Additionally, proposals envisioning compensation levels lower than those of predecessor contractors for the same work will be evaluated on the basis of maintaining program continuity, uninterrupted high-quality work, and availability of required competent professional service employees. Offerors are cautioned that lowered compensation for essentially the same professional work may indicate lack of sound management judgment and lack of understanding of the requirement.

(c) The Government is concerned with the quality and stability of the work force to be employed on this contract. Professional compensation that is unrealistically low or not in reasonable relationship to the various job categories, since it may impair the Contractor's ability to attract and retain competent professional service employees, may be viewed as evidence of failure to comprehend the complexity of the contract requirements.

(d) Failure to comply with these provisions may constitute sufficient cause to justify rejection of a proposal.

**52.224-1 Privacy Act Notification (APR 1984)**

The Contractor will be required to design, develop, or operate a system of records on individuals, to accomplish an agency function subject to the Privacy Act of 1974, Public Law 93-579, December 31, 1974 (5 U.S.C. 552a) and applicable agency regulations. Violation of the Act may involve the imposition of criminal penalties.

**52.224-2 Privacy Act (APR 1984)**

(a) The Contractor agrees to--

(1) Comply with the Privacy Act of 1974 (the Act) and the agency rules and regulations issued under the Act in the design, development, or operation of any system of records on individuals to accomplish an agency function when the contract specifically identifies--

(i) The systems of records; and

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(ii) The design, development, or operation work that  
the contractor is to perform;

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(2) Include the Privacy Act notification contained in this contract in every solicitation and resulting subcontract and in every subcontract awarded without a solicitation, when the work statement in the proposed subcontract requires the redesign, development, or operation of a system of records on individuals that is subject to the Act; and

(3) Include this clause, including this subparagraph (3), in all subcontracts awarded under this contract which requires the design, development, or operation of such a system of records.

(b) In the event of violations of the Act, a civil action may be brought against the agency involved when the violation concerns the design, development, or operation of a system of records on individuals to accomplish an agency function, and criminal penalties may be imposed upon the officers or employees of the agency when the violation concerns the operation of a system of records on individuals to accomplish an agency function. For purposes of the Act, when the contract is for the operation of a system of records on individuals to accomplish an agency function, the Contractor is considered to be an employee of the agency.

(c) (1) "Operation of a system of records," as used in this clause, means performance of any of the activities associated with maintaining the system of records, including the collection, use, and dissemination of records.

(2) "Record," as used in this clause, means any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, education, financial transactions, medical history, and criminal or employment history and that contains the person's name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint or voiceprint or a photograph.

(3) "System of records on individuals," as used in this clause, means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

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**52.225-11 RESTRICTIONS ON CERTAIN FOREIGN PURCHASES (OCT 1996)**

- (a) Unless advance written approval of the Contracting Officer is obtained, the Contractor shall not acquire, for use in the performance of this contract, any supplies or services originating from sources within, or that were located in or transported from or through, countries whose products are banned from importation into the United States under regulations of the Office of Foreign Assets Control, Department of the Treasury. Those countries include Cuba, Iran, Iraq, Libya, and North Korea.
- (b) The Contractor shall not acquire for use in the performance of this contract any supplies or services from entities controlled by the Government of Iraq.
- (c) The Contractor agrees to insert the provisions of this clause, including this paragraph (c), in all subcontracts hereunder.

**52.229-1 STATE AND LOCAL TAXES (APR 1984)**

Notwithstanding the terms of the Federal, State, and Local Taxes clause, the contract price excludes all State and local taxes levied on or measured by the contract or sales price of the services or completed supplies furnished under this contract. The Contractor shall state separately on its invoices taxes excluded from the contract price, and the Government agrees either to pay the amount of the taxes to the Contractor or provide evidence necessary to sustain an exemption.

**52.229-3 FEDERAL, STATE, AND LOCAL TAXES (JAN 1991)**

- (a) "Contract date," as used in this clause, means the date set for bid opening or, if this is a negotiated contract or a modification, the effective date of this contract or modification.

"All applicable Federal, State, and local taxes and duties," as used in this clause, means all taxes and duties, in effect on the contract date, that the taxing authority is imposing and collecting on the transactions or property covered by this contract.

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"After-imposed Federal tax," as used in this clause, means any new or increased Federal excise tax or duty, or tax that was exempted or excluded on the contract date but whose exemption was later revoked or reduced during the contract period, on the transactions or property covered by this contract that the Contractor is required to pay or bear as the result of legislative, judicial, or administrative action taking effect after the contract date. It does not include social security tax or other employment taxes.

"After-relieved Federal tax," as used in this clause, means any amount of Federal excise tax or duty, except social security or other employment taxes, that would otherwise have been payable on the transactions or property covered by this contract, but which the Contractor is not required to pay or bear, or for which the Contractor obtains a refund or drawback, as the result of legislative, judicial, or administrative action taking effect after the contract date.

(b) The contract price includes all applicable Federal, State, and local taxes and duties.

(c) The contract price shall be increased by the amount of any after-imposed Federal tax, provided the Contractor warrants in writing that no amount for such newly imposed Federal excise tax or duty or rate increase was included in the contract price, as a contingency reserve or otherwise.

(d) The contract price shall be decreased by the amount of any after-relieved Federal tax.

(e) The contract price shall be decreased by the amount of any Federal excise tax or duty, except social security or other employment taxes, that the Contractor is required to pay or bear, or does not obtain a refund of, through the Contractor's fault, negligence, or failure to follow instructions of the Contracting Officer.

(f) No adjustment shall be made in the contract price under this clause unless the amount of the adjustment exceeds \$250.

(g) The Contractor shall promptly notify the Contracting Officer of all matters relating to any Federal excise tax or duty that reasonably may be expected to result in either an

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increase or decrease in the contract price and shall take appropriate action as the Contracting Officer directs.

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(h) The Government shall, without liability, furnish evidence appropriate to establish exemption from any Federal, State, or local tax when the Contractor requests such evidence and a reasonable basis exists to sustain the exemption.

**52.229-5 TAXES—CONTRACTS PERFORMED IN U.S. POSSESSIONS OR PUERTO RICO (APR 1984)**

The term "local taxes," as used in the Federal, State, and local taxes clause of this contract, includes taxes imposed by a possession of the United States or by Puerto Rico.

**52.232-7 Payments under Time-and-Materials and Labor-Hour Contracts (Feb 1997)**

The Government shall pay the Contractor as follows upon the submission of invoices or vouchers approved by the Contracting Officer:

(a) Hourly rate. (1) The amounts shall be computed by multiplying the appropriate hourly rates prescribed in the Schedule by the number of direct labor hours performed. The rates shall include wages, indirect costs, general and administrative expense, and profit. Fractional parts of an hour shall be payable on a prorated basis. Vouchers may be submitted once each month (or at more frequent intervals, if approved by the Contracting Officer), to the Contracting Officer or designee. The Contractor shall substantiate vouchers by evidence of actual payment and by individual daily job timecards, or other substantiation approved by the Contracting Officer. Promptly after receipt of each substantiated voucher, the Government shall, except as otherwise provided in this contract, and subject to the terms of (e) of this section, pay the voucher as approved by the Contracting Officer.

(2) Unless otherwise prescribed in the Schedule, the Contracting Officer shall withhold 5 percent of the amounts due under this paragraph (a), but the total amount withheld shall not exceed \$50,000. The amounts withheld shall be retained until the execution and delivery of a release by the Contractor as provided in paragraph (f) of this section.

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(3) Unless the Schedule prescribes otherwise, the hourly rates in the Schedule shall not be varied by virtue of the Contractor having performed work on an overtime basis. If no overtime rates are provided in the Schedule and overtime work is

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approved in advance by the Contracting Officer, overtime rates shall be negotiated. Failure to agree upon these overtime rates shall be treated as a dispute under the Disputes clause of this contract. If the Schedule provides rates for overtime, the premium portion of those rates will be reimbursable only to the extent the overtime is approved by the Contracting Officer.

(b) Materials and subcontracts. (1) Allowable costs of direct materials shall be determined by the Contracting Officer in accordance with Subpart 31.2 of the Federal Acquisition Regulation (FAR) in effect on the date of this contract. Reasonable and allocable material handling costs may be included in the charge for material to the extent they are clearly excluded from the hourly rate. Material handling costs are comprised of indirect costs, including, when appropriate, general and administrative expense allocated to direct materials in accordance with the Contractor's usual accounting practices consistent with Subpart 31.2 of the FAR. The Contractor shall be reimbursed for items and services purchased directly for the contract only when cash, checks, or other forms of actual payment have been made for such purchased items or services. Direct materials, as used in this clause, are those materials which enter directly into the end product, or which are used or consumed directly in connection with the furnishing of the end product.

(2) The cost of subcontracts that are authorized under the subcontracts clause of this contract shall be reimbursable costs under this clause; provided, that the costs are consistent with subparagraph (b)(3) of this section. Reimbursable costs in connection with subcontracts shall be limited to the amounts paid to the subcontractor for items and services purchased directly for the contract only when cash, checks, or other form of payment has been made for such purchased items or services; however, this requirement shall not apply to a Contractor that is a small business concern. Reimbursable costs shall not include any costs arising from the letting, administration or supervision of performance of the subcontract, if the costs are included in the hourly rates payable under (a)(1) of this section.

(3) To the extent able, the Contractor shall--

(i) Obtain materials at the most advantageous prices available with due regard to securing prompt delivery of satisfactory materials; and

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**552.238-70 IDENTIFICATION OF ELECTRONIC OFFICE EQUIPMENT  
PROVIDING ACCESSIBILITY FOR THE HANDICAPPED  
(SEP 1991)**

(a) Definitions. "Electronic office equipment accessibility" means the application/configuration of electronic office equipment (includes hardware, software, and firmware) in a manner that accommodates the functional limitations of individuals with disabilities (i.e., handicapped individuals) so as to promote productivity and provide access to work related and/or public information resources.

"Handicapped individuals" mean qualified individuals with impairments as cited in 29 CFR 1613.702(f) who can benefit from electronic office equipment accessibility.

"Special peripheral" means a special needs aid that provides access to electronic equipment that is otherwise inaccessible to a handicapped individual.

(b) The Offeror is encouraged to identify in its offer, and include in any commercial catalogs and pricelists accepted by the Contracting Officer, office equipment, including any special peripheral, that will facilitate electronic office equipment accessibility for handicapped individuals. Identification should include the type of disability accommodated and how the users with that disability would be helped.

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(ii) Take all cash and trade discounts, rebates, allowances, credits, salvage, commissions, and other benefits. When unable to take advantage of the benefits, the Contractor

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shall promptly notify the Contracting Officer and give the reasons. Credit shall be given to the Government for cash and trade discounts, rebates, allowances, credits, salvage, the value of any appreciable scrap, commissions, and other amounts that have accrued to the benefit of the Contractor, or would have accrued except for the fault or neglect of the Contractor. The benefits lost without fault or neglect on the part of the Contractor, or lost through fault of the Government, shall not be deducted from gross costs.

if not paid  
cannot be deducted  
of cash

(c) Total cost. It is estimated that the total cost to the Government for the performance of this contract shall not exceed the ceiling price set forth in the Schedule and the Contractor agrees to use its best efforts to perform the work specified in the Schedule and all obligations under this contract within such ceiling price. If at any time the Contractor has reason to believe that the hourly rate payments and material costs that will accrue in performing this contract in the next succeeding 30 days, if added to all other payments and costs previously accrued, will exceed 85 percent of the ceiling price in the Schedule, the Contractor shall notify the Contracting Officer giving a revised estimate of the total price to the Government for performing this contract with supporting reasons and documentation. If at any time during performing this contract, the Contractor has reason to believe that the total price to the Government for performing this contract will be substantially greater or less than the then stated ceiling price, the Contractor shall so notify the Contracting Officer, giving a revised estimate of the total price for performing this contract, with supporting reasons and documentation. If at any time during performing this contract, the Government has reason to believe that the work to be required in performing this contract will be substantially greater or less than the stated ceiling price, the Contracting Officer will so advise the Contractor, giving the then revised estimate of the total amount of effort to be required under the contract.

ceilng?  
= 85%  
definite  
obligation  
or lesser

(d) Ceiling price. The Government shall not be obligated to pay the Contractor any amount in excess of the ceiling price in the Schedule, and the Contractor shall not be obligated to continue performance if to do so would exceed the ceiling price set forth in the Schedule, unless and until the Contracting Officer shall have notified the Contractor in writing that the ceiling price has been increased and shall have specified in the notice a revised ceiling that shall constitute the ceiling price for performance under this contract. When and to the extent that the

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ceiling price set forth in the Schedule has been increased, any hours expended and material costs incurred by the Contractor in

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excess of the ceiling price before the increase shall be allowable to the same extent as if the hours expended and material costs had been incurred after the increase in the ceiling price.

(e) Audit. At any time before final payment under this contract the Contracting Officer may request audit of the invoices or vouchers and substantiating material. Each payment previously made shall be subject to reduction to the extent of amounts, on preceding invoices or vouchers, that are found by the Contracting Officer not to have been properly payable and shall also be subject to reduction for overpayments or to increase for underpayments. Upon receipt and approval of the voucher or invoice designated by the Contractor as the "completion voucher" or "completion invoice" and substantiating material, and upon compliance by the Contractor with all terms of this contract (including, without limitation, terms relating to patents and the terms of (f) and (g) of this section), the Government shall promptly pay any balance due the Contractor. The completion invoice or voucher, and substantiating material, shall be submitted by the Contractor as promptly as practicable following completion of the work under this contract, but in no event later than 1 year (or such longer period as the Contracting Officer may approve in writing) from the date of completion.

(f) Assignment. The Contractor, and each assignee under an assignment entered into under this contract and in effect at the time of final payment under this contract, shall execute and deliver, at the time of and as a condition precedent to final payment under this contract, a release discharging the Government, its officers, agents, and employees of and from all liabilities, obligations, and claims arising out of or under this contract, subject only to the following exceptions:

(1) Specified claims in stated amounts, or in estimated amounts if the amounts are not susceptible of exact statement by the Contractor.

(2) Claims, together with reasonable incidental expenses, based upon the liabilities of the Contractor to third parties arising out of performing this contract, that are not known to the Contractor on the date of the execution of the release, and of which the Contractor gives notice in writing to the Contracting Officer not more than 6 years after the date of the release or the date of any notice to the Contractor that the

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Government is prepared to make final payment, whichever is  
earlier.

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(3) Claims for reimbursement of costs (other than expenses of the Contractor by reason of its indemnification of the Government against patent liability), including reasonable incidental expenses, incurred by the Contractor under the terms of this contract relating to patents.

(g) Refunds. The Contractor agrees that any refunds, rebates, or credits (including any related interest) accruing to or received by the Contractor or any assignee, that arise under the materials portion of this contract and for which the Contractor has received reimbursement, shall be paid by the Contractor to the Government. The Contractor and each assignee, under an assignment entered into under this contract and in effect at the time of final payment under this contract, shall execute and deliver, at the time of and as a condition precedent to final payment under this contract, an assignment to the Government of such refunds, rebates, or credits (including any interest) in form and substance satisfactory to the Contracting Officer.

**Alternate I (Apr 1984).** If the nature of the work to be performed requires the contractor to furnish material that is regularly sold to the general public in the normal course of business by the contractor, and the price is under the limitations prescribed in 16.601(b)(3), add the following subparagraph (4) to paragraph (b) of the basic clause:

(b)(4) If the nature of the work to be performed requires the Contractor to furnish material which is regularly sold to the general public in the normal course of business by the Contractor, the price to be paid for such material, notwithstanding (b)(1) above, shall be on the basis of an established catalog or list price, in effect when the material is furnished, less all applicable discounts to the Government; provided, that in no event shall such price be in excess of the Contractor's sales price to its most favored customer for the same item in like quantity, or the current market price, whichever is lower.

**Alternate II (Jan 1986).** If a labor-hour contract is contemplated, and if no specific reimbursement for materials furnished is intended, the Contracting Officer may add the following paragraph (h) to the basic clause:

(h) The terms of this clause that govern reimbursement for materials furnished are considered to have been deleted.

*Very important*

Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343  
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PCT/US 00/00382

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**52.232-17 INTEREST (JUN 1996)**

(a) Except as otherwise provided in this contract under a Price Reduction for Defective Cost or Pricing Data clause or a Cost Accounting Standards clause, all amounts that become payable by the Contractor to the Government under this contract (net of any applicable tax credit under the Internal Revenue Code (26 U.S.C. 1481)) shall bear simple interest from the date due until paid unless paid within 30 days of becoming due. The interest rate shall be the interest rate established by the Secretary of the Treasury as provided in Section 12 of the Contract Disputes Act of 1978 (Public Law 95-563), which is applicable to the period in which the amount becomes due, as provided in paragraph (b) of this clause, and then at the rate applicable for each six-month period as fixed by the Secretary until the amount is paid.

(b) Amounts shall be due at the earliest of the following dates:

(1) The date fixed under this contract.

(2) The date of the first written demand for payment consistent with this contract, including any demand resulting from a default termination.

(3) The date the Government transmits to the Contractor a proposed supplemental agreement to confirm completed negotiations establishing the amount of debt.

(4) If this contract provides for revision of prices, the date of written notice to the Contractor stating the amount of refund payable in connection with a pricing proposal or a negotiated pricing agreement not confirmed by contract modification.

(c) The interest charge made under this clause may be reduced under the procedures prescribed in 32.614-2 of the Federal Acquisition Regulation in effect on the date of this contract.

**52.232-19 Availability of Funds for the Next Fiscal Year  
(Apr 1984)**

Funds are not presently available for performance under this contract beyond \_\_\_\_\_. The Government's obligation for

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performance of this contract beyond that date is contingent upon the availability of appropriated funds from which payment for contract purposes can be made. No legal liability on the part of the Government for any payment may arise for performance under

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this contract beyond \_\_\_\_\_, until funds are made available to the Contracting Officer for performance and until the Contractor receives notice of availability, to be confirmed in writing by the Contracting Officer.

**NOTE:** The ordering agency is to fill in the blanks.

**52.232-33 MANDATORY INFORMATION FOR ELECTRONIC FUNDS TRANSFER PAYMENT (AUG 1996)**

(a) Method of payment.

Payments by the Government under this contract, including invoice and contract financing payments, may be made by check or electronic funds transfer (EFT) at the option of the Government. If payment is made by EFT, the Government may, at its option, also forward the associated payment information by electronic transfer. As used in this clause, the term "EFT" refers to the funds transfer and may also include the information transfer.

(b) Mandatory submission of Contractor's EFT information.

(1) The Contractor is required, as a condition to any payment under this contract, to provide the Government with the information required to make payment by EFT as described in paragraph (d) of this clause, unless the payment office determines that submission of the information is not required. However, until January 1, 1999, in the event the Contractor certifies in writing to the payment office that the Contractor does not have an account with a financial institution or an authorized payment agent, payment shall be made by other than EFT. For any payments to be made after January 1, 1999, the Contractor shall provide EFT information as described in paragraph (d) of this clause.

(2) If the Contractor provides EFT information applicable to multiple contracts, the Contractor shall specifically state the applicability of this EFT information in terms acceptable to the payment office.

(c) Contractor's EFT information.

Prior to submission of the first request for payment (whether for invoice or contract financing payment) under this contract, the Contractor shall provide the information required to make

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contract payment by EFT, as described in paragraph (d) of this clause, directly to the Government payment office named in this contract. If more than one payment office is named for the

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contract, the Contractor shall provide a separate notice to each office. In the event that the EFT information changes, the Contractor shall be responsible for providing the changed information to the designated payment office(s).

(d) Required EFT information.

The Government may make payment by EFT through either an Automated Clearing House (ACH) subject to the banking laws of the United States or the Federal Reserve Wire Transfer System at the Government's option. The Contractor shall provide the following information for both methods in a form acceptable to the designated payment office: The Contractor may supply this data for this or multiple contracts (see paragraph (b) of this clause).

(1) The contract number to which this notice applies.

(2) The Contractor's name and remittance address, as stated in the contract, and account number at the Contractor's financial agent.

(3) The signature (manual or electronic, as appropriate), title, and telephone number of the Contractor official authorized to provide this information.

(4) For ACH payments only:

(i) Name, address, and 9-digit Routing Transit Number of the Contractor's financial agent.

(ii) Contractor's account number and the type of account (checking, saving, or lockbox).

(5) For Federal Reserve Wire Transfer System payments only:

(i) Name, address, telegraphic abbreviation, and the 9-digit Routing Transit Number for the Contractor's financial agent.

(ii) If the Contractor's financial agent is not directly on-line to the Federal Reserve Wire Transfer System and, therefore, not the receiver of the wire transfer payment, the Contractor shall also provide the name, address, and 9-digit

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payment check or the date on which an electronic funds transfer was made.

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Routing Transit Number of the correspondent financial  
institution receiving the wire transfer payment.

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(e) Suspension of payment.

(1) Notwithstanding the provisions of any other clause of this contract, the Government is not required to make any payment under this contract until after receipt, by the designated payment office, of the correct EFT payment information from the Contractor or a certificate submitted in accordance with paragraph (b) of this clause. Until receipt of the correct EFT information, any invoice or contract financing request shall be deemed not to be a valid invoice or contract financing request as defined in the Prompt Payment clause of this contract.

(2) If the EFT information changes after submission of correct EFT information, the Government shall begin using the changed EFT information no later than the 30th day after its receipt to the extent payment is made by EFT. However, the Contractor may request that no further payments be made until the changed EFT information is implemented by the payment office. If such suspension would result in a late payment under the Prompt Payment clause of this contract, the Contractor's request for suspension shall extend the due date for payment by the number of days of the suspension.

(f) Contractor EFT arrangements.

The Contractor shall designate a single financial agent capable of receiving and processing the electronic funds transfer using the EFT methods described in paragraph (d) of this clause. The Contractor shall pay all fees and charges for receipt and processing of transfers.

(g) Liability for uncompleted or erroneous transfers.

(1) If an uncompleted or erroneous transfer occurs because the Government failed to use the Contractor-provided EFT information in the correct manner, the Government remains responsible for (i) making a correct payment, (ii) paying any prompt payment penalty due, and (iii) recovering any erroneously directed funds.

(2) If an uncompleted or erroneous transfer occurs because Contractor-provided EFT information was incorrect at the time of Government release of the EFT payment transaction instruction to the Federal Reserve System, and-

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carrier is used, supplies shall be delivered to the specified unloading platform of the consignee. If motor carrier (including "piggyback") is used, supplies shall be delivered to truck

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(i) If the funds are no longer under the control of the payment office, the Government is deemed to have made payment and the Contractor is responsible for recovery of any erroneously directed funds; or

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(ii) If the funds remain under the control of the payment office, the Government retains the right to either make payment by mail or suspend the payment in accordance with paragraph (e) of this clause.

(h) EFT and prompt payment.

(1) A payment shall be deemed to have been made in a timely manner in accordance with the Prompt Payment clause of this contract if, in the EFT payment transaction instruction given to the Federal Reserve System, the date specified for settlement of the payment is on or before the prompt payment due date, provided the specified payment date is a valid date under the rules of the Federal Reserve System.

(2) When payment cannot be made by EFT because of incorrect EFT information provided by the Contractor, no interest penalty is due after the date of the uncompleted or erroneous payment transaction, provided that notice of the defective EFT information is issued to the Contractor within 7 days after the Government is notified of the defective EFT information.

(i) EFT and assignment of claims.

If the Contractor assigns the proceeds of this contract as provided for in the Assignment of Claims clause of this contract, the assignee shall provide the assignee EFT information required by paragraph (d) of this clause. In all respects, the requirements of this clause shall apply to the assignee as if it were the Contractor. EFT information which shows the ultimate recipient of the transfer to be other than the Contractor, in the absence of a proper assignment of claims acceptable to the Government, is incorrect EFT information within the meaning of paragraph (e) of this clause.

(j) Payment office discretion.

If the Contractor does not wish to receive payment by EFT methods for one or more payments, the Contractor may submit a request to the designated payment office to refrain from requiring EFT information or using the EFT payment method. The decision to grant the request is solely that of the Government.

(k) Change of EFT information by financial agent.

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The Contractor agrees that the Contractor's financial agent may notify the Government of a change to the routing transit number, Contractor account number, or account type. The Government shall

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use the changed data in accordance with paragraph (e) (2) of this clause. The Contractor agrees that the information provided by the agent is deemed to be correct information as if it were provided by the Contractor. The Contractor agrees that the agent's notice of changed EFT data is deemed to be a request by the Contractor in accordance with paragraph (e) (2) that no further payments be made until the changed EFT information is implemented by the payment office.

**52.233-1 DISPUTES (Oct 1995)**

(a) This contract is subject to the Contract Disputes Act of 1978, as amended (41 U.S.C. 601-613).

(b) Except as provided in the Act, all disputes arising under or relating to this contract shall be resolved under this clause.

(c) "Claim," as used in this clause, means a written demand or written assertion by one of the contracting parties seeking, as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to this contract. A claim arising under a contract, unlike a claim relating to that contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant. However, a written demand or written assertion by the Contractor seeking the payment of money exceeding \$100,000 is not a claim under the Act until certified as required by subparagraph (d) (2) of this clause. A voucher, invoice, or other routine request for payment that is not in dispute when submitted is not a claim under the Act. The submission may be converted to a claim under the Act, by complying with the submission and certification requirements of this clause, if it is disputed either as to liability or amount or is not acted upon in a reasonable time.

(d) (1) A claim by the Contractor shall be made in writing and, unless otherwise stated in this contract, submitted within 6 years after accrual of the claim to the Contracting Officer for a written decision. A claim by the Government against the Contractor shall be subject to a written decision by the Contracting Officer.

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(2) (i) Contractors shall provide the certification specified in subparagraph (d)(2)(iii) of this clause when submitting any claim--

(A) Exceeding \$100,000; or

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(B) Regardless of the amount claimed, when using-

(1) Arbitration conducted pursuant to 5 U.S.C. 575-580; or

(2) Any other alternative means of dispute resolution (ADR) technique that the agency elects to handle in accordance with the Administrative Dispute Resolution Act (ADRA).

(ii) The certification requirement does not apply to issues in controversy that have not been submitted as all or part of a claim.

(iii) The certification shall state as follows: "I certify that the claim is made in good faith; that the supporting data are accurate and complete to the best of my knowledge and belief; that the amount requested accurately reflects the contract adjustment for which the Contractor believes the Government is liable; and that I am duly authorized to certify the claim on behalf of the Contractor."

(3) The certification may be executed by any person duly authorized to bind the Contractor with respect to the claim.

(e) For Contractor claims of \$100,000 or less, the Contracting Officer must, if requested in writing by the Contractor, render a decision within 60 days of the request. For Contractor-certified claims over \$100,000, the Contracting Officer must, within 60 days, decide the claim or notify the Contractor of the date by which the decision will be made.

(f) The Contracting Officer's decision shall be final unless the Contractor appeals or files a suit as provided in the Act.

(g) If the claim by the Contractor is submitted to the Contracting Officer or a claim by the Government is presented to the Contractor, the parties, by mutual consent, may agree to use ADR. If the Contractor refuses an offer for alternative disputes resolution, the Contractor shall inform the Contracting Officer, in writing, of the Contractor's specific reasons for rejecting the request. When using arbitration conducted pursuant to 5 U.S.C. 575-580, or when using any other ADR technique that the agency elects to handle in accordance with the ADRA, any claim,

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regardless of amount, shall be accompanied by the certification described in subparagraph (d)(2)(iii) of this clause, and executed in accordance with subparagraph (d)(3) of this clause.

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(h) The Government shall pay interest on the amount found due and unpaid from (1) the date that the Contracting Officer receives the claim (certified, if required); or (2) the date that payment otherwise would be due, if that date is later, until the date of payment. With regard to claims having defective certifications, as defined in FAR 33.201, interest shall be paid from the date that the Contracting Officer initially receives the claim. Simple interest on claims shall be paid at the rate, fixed by the Secretary of the Treasury as provided in the Act, which is applicable to the period during which the Contracting Officer receives the claim and then at the rate applicable for each 6-month period as fixed by the Treasury Secretary during the pendency of the claim.

(i) The Contractor shall proceed diligently with performance of this contract, pending final resolution of any request for relief, claim, appeal, or action arising under the contract, and comply with any decision of the Contracting Officer.

**52.233-3 PROTEST AFTER AWARD (AUG 1996)**

(a) Upon receipt of a notice of protest (as defined in FAR 33.101) or a determination that a protest is likely (see FAR 33.102(d)), the Contracting Officer may, by written order to the Contractor, direct the Contractor to stop performance of the work called for by this contract. The order shall be specifically identified as a stop-work order issued under this clause. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage. Upon receipt of the final decision in the protest, the Contracting Officer shall either--

(1) Cancel the stop-work order; or

(2) Terminate the work covered by the order as provided in the Default, or the Termination for Convenience of the Government, clause of this contract.

(b) If a stop-work order issued under this clause is canceled either before or after a final decision in the protest, the Contractor shall resume work. The Contracting Officer shall make

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an equitable adjustment in the delivery schedule or contract  
price, or both, and the contract shall be modified, in  
writing, accordingly, if--

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(1) The stop-work order results in an increase in the time required for, or in the Contractor's cost properly allocable to, the performance of any part of this contract; and

(2) The Contractor asserts its right to an adjustment within 30 days after the end of the period of work stoppage; provided, that if the Contracting Officer decides the facts justify the action, Contracting Officer may receive and act upon a proposal at any time before final payment under this contract.

(c) If a stop-work order is not canceled and the work covered by the order is terminated for the convenience of the Government, the Contracting Officer shall allow reasonable costs resulting from the stop-work order in arriving at the termination settlement.

(d) If a stop-work order is not canceled and the work covered by the order is terminated for default, the Contracting Officer shall allow, by equitable adjustment or otherwise, reasonable costs resulting from the stop-work order.

(e) The Government's rights to terminate this contract at any time are not affected by action taken under this clause.

(f) If, as the result of the Contractor's intentional or negligent misstatement, misrepresentation, or miscertification, a protest related to this contract is sustained, and the Government pays costs, as provided in FAR 33.102(b)(2) or 33.104(h)(1), the Government may require the Contractor to reimburse the Government the amount of such costs. In addition to any other remedy available, and pursuant to the requirements of Subpart 32.6, the Government may collect this debt by offsetting the amount against any payment due the Contractor under any contract between the Contractor and the Government.

**52.237-1 SITE VISIT (APR 1984)**

Offerors or quoters are urged and expected to inspect the site where services are to be performed and to satisfy themselves regarding all general and local conditions that may affect the cost of contract performance, to the extent that the information is reasonably obtainable. In no event shall failure to inspect the site constitute grounds for a claim after contract award.

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**52.237-2 PROTECTION OF GOVERNMENT BUILDINGS, EQUIPMENT, AND  
VEGETATION (APR 1984)**

The Contractor shall use reasonable care to avoid damaging existing buildings, equipment, and vegetation on the Government installation. If the Contractor's failure to use reasonable care causes damage to any of this property, the Contractor shall replace or repair the damage at no expense to the Government as the Contracting Officer directs. If the Contractor fails or refuses to make such repair or replacement, the Contractor shall be liable for the cost, which may be deducted from the contract price.

**52.239-1 PRIVACY OR SECURITY SAFEGUARDS (AUG 1996)**

(a) The Contractor shall not publish or disclose in any manner, without the Contracting Officer's written consent, the details of any safeguards either designed or developed by the Contractor under this contract or otherwise provided by the Government.

(b) To the extent required to carry out a program of inspection to safeguard against threats and hazards to the security, integrity, and confidentiality of Government data, the Contractor shall afford the Government access to the Contractor's facilities, installations, technical capabilities, operations, documentation, records, and databases.

(c) If new or unanticipated threats or hazards are discovered by either the Government or the Contractor, or if existing safeguards have ceased to function, the discoverer shall immediately bring the situation to the attention of the other party.

**52.246-4 INSPECTION OF SERVICES--FIXED-PRICE (AUG 1996)**

(a) Definition: "Services," as used in this clause, includes services performed, workmanship, and material furnished or utilized in the performance of services.

(b) The Contractor shall provide and maintain an inspection system acceptable to the Government covering the services under this contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to the

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Government during contract performance and for as long  
afterwards as the contract requires.

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(c) The Government has the right to inspect and test all services called for by the contract, to the extent practicable at all times and places during the term of the contract. The Government shall perform inspections and tests in a manner that will not unduly delay the work.

(d) If the Government performs inspections or tests on the premises of the Contractor or a subcontractor, the Contractor shall furnish, and shall require subcontractors to furnish, at no increase in contract price, all reasonable facilities and assistance for the safe and convenient performance of these duties.

(e) If any of the services do not conform with contract requirements, the Government may require the Contractor to perform the services again in conformity with contract requirements, at no increase in contract amount. When the defects in services cannot be corrected by reperformance, the Government may--

(1) Require the Contractor to take necessary action to ensure that future performance conforms to contract requirements; and

(2) Reduce the contract price to reflect the reduced value of the services performed.

(f) If the Contractor fails to promptly perform the services again or to take the necessary action to ensure future performance in conformity with contract requirements, the Government may--

(1) By contract or otherwise, perform the services and charge to the Contractor any cost incurred by the Government that is directly related to the performance of such service; or

(2) Terminate the contract for default.

**52.246-6 Inspection--Time-and-Material and Labor-Hour (Jan 1986)**

(a) Definitions.

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"Contractor's managerial personnel," as used in this clause,  
means any of the Contractor's directors, officers, managers,  
superintendents, or equivalent representatives who have  
supervision or direction of--

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(1) All or substantially all of the Contractor's business;

(2) All or substantially all of the Contractor's operation at any one plant or separate location at which the contract is being performed; or

(3) A separate and complete major industrial operation connected with the performance of this contract.

"Materials," as used in this clause, includes data when the contract does not include the Warranty of Data clause.

(b) The Contractor shall provide and maintain an inspection system acceptable to the Government covering the material, fabricating methods, work, and services under this contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to the Government during contract performance and for as long afterwards as the contract requires.

(c) The Government has the right to inspect and test all materials furnished and services performed under this contract, to the extent practicable at all places and times, including the period of performance, and in any event before acceptance. The Government may also inspect the plant or plants of the Contractor or any subcontractor engaged in contract performance. The Government shall perform inspections and tests in a manner that will not unduly delay the work.

(d) If the Government performs inspection or test on the premises of the Contractor or a subcontractor, the Contractor shall furnish and shall require subcontractors to furnish all reasonable facilities and assistance for the safe and convenient performance of these duties.

(e) Unless otherwise specified in the contract, the Government shall accept or reject services and materials at the place of delivery as promptly as practicable after delivery, and they shall be presumed accepted 60 days after the date of delivery, unless accepted earlier.

(f) At any time during contract performance, but not later than 6 months (or such other time as may be specified in the contract) after acceptance of the services or materials last delivered under this contract, the Government may require the

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Contractor to replace or correct services or materials that at time of delivery failed to meet contract requirements. Except as otherwise specified in paragraph (h) of this clause, the cost of

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replacement or correction shall be determined under the Payments Under Time-and-Materials and Labor-Hour Contracts clause, but the "hourly rate" for labor hours incurred in the replacement or correction shall be reduced to exclude that portion of the rate attributable to profit. The Contractor shall not tender for acceptance materials and services required to be replaced or corrected without disclosing the former requirement for replacement or correction, and, when required, shall disclose the corrective action taken.

(g)(1) If the Contractor fails to proceed with reasonable promptness to perform required replacement or correction, and if the replacement or correction can be performed within the ceiling price (or the ceiling price as increased by the Government), the Government may--

(i) By contract or otherwise, perform the replacement or correction, charge to the Contractor any increased cost, or deduct such increased cost from any amounts paid or due under this contract; or

(ii) Terminate this contract for default.

(2) Failure to agree to the amount of increased cost to be charged to the Contractor shall be a dispute.

(h) Notwithstanding paragraphs (f) and (g) above, the Government may at any time require the Contractor to remedy by correction or replacement, without cost to the Government, any failure by the Contractor to comply with the requirements of this contract, if the failure is due to--

(1) Fraud, lack of good faith, or willful misconduct on the part of the Contractor's managerial personnel; or

(2) The conduct of one or more of the Contractor's employees selected or retained by the Contractor after any of the Contractor's managerial personnel has reasonable grounds to believe that the employee is habitually careless or unqualified.

(i) This clause applies in the same manner and to the same extent to corrected or replacement materials or services as to materials and services originally delivered under this contract.

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(j) The Contractor has no obligation or liability under this contract to correct or replace materials and services that at time of delivery do not meet contract requirements, except as provided in this clause or as may be otherwise specified in the contract.

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(k) Unless otherwise specified in the contract, the Contractor's obligation to correct or replace Government-furnished property shall be governed by the clause pertaining to Government property.

**NOTE:** The ordering agency is to determine if Alternate I below, should be used in lieu of the paragraph in the basic clause to fulfill their requirements.

**Alternate I (Apr 1984).** If Government inspection and acceptance are to be performed at the contractor's plant, paragraph (e) below may be substituted for paragraph (e) of the basic clause:

(e) The Government shall inspect for acceptance all items (other than aircraft to be flown away, if any) to be furnished under this contract at the Contractor's plant or plants specified in the contract, or at any other plant or plants approved for such purpose in writing by the Contracting Officer. The Contractor shall inform the contract administration office or Contracting Officer when the work is ready for inspection. The Government reserves the right to charge to the Contractor any additional cost of Government inspection and test when items are not ready at the time for which inspection and test is requested by the Contractor.

**52.247-34 F.O.B. DESTINATION (NOV 1991)**

(a) The term "f.o.b. destination," as used in this clause, means-

(1) Free of expense to the Government, on board the carrier's conveyance, at a specified delivery point where the consignee's facility (plant, warehouse, store, lot, or other location to which shipment can be made) is located; and

(2) Supplies shall be delivered to the destination consignee's wharf (if destination is a port city and supplies are for export), warehouse unloading platform, or receiving dock, at the expense of the Contractor. The Government shall not be liable for any delivery, storage, demurrage, accessorial, or other charges involved before the actual delivery (or "constructive placement" as defined in carrier tariffs) of the supplies to the destination, unless such charges are caused by an act or order of the Government acting in its contractual capacity. If rail

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tailgate at the unloading platform of the consignee, except when the supplies delivered meet the requirements of Item 568 of the National Motor Freight Classification for "heavy or bulky freight." When supplies meeting the requirements of the referenced Item 568 are delivered, unloading (including movement to the tailgate) shall be performed by the consignee, with assistance from the truck driver, if requested. If the Contractor uses rail carrier or freight forwarder for less than carload shipments, the Contractor shall ensure that the carrier will furnish tailgate delivery, when required, if transfer to truck is required to complete delivery to consignee.

(b) The Contractor shall-

- (1) (i) Pack and mark the shipment to comply with contract specifications; or
  - (ii) In the absence of specifications, prepare the shipment in conformance with carrier requirements;
- (2) Prepare and distribute commercial bills of lading;
- (3) Deliver the shipment in good order and condition to the point of delivery specified in the contract;
- (4) Be responsible for any loss of and/or damage to the goods occurring before receipt of the shipment by the consignee at the delivery point specified in the contract;
- (5) Furnish a delivery schedule and designate the mode of delivering carrier; and
- (6) Pay and bear all charges to the specified point of delivery.

**52.247-64 PREFERENCE FOR PRIVATELY OWNED U.S.-FLAG COMMERCIAL VESSELS (JUN 1997)**

(a) The Cargo Preference Act of 1954 (46 U.S.C. 1241(b)) requires that Federal departments and agencies shall transport in privately owned U.S.-flag commercial vessels at least 50 percent of the gross tonnage of equipment, materials, or commodities that may be transported in ocean vessels (computed separately for dry bulk carriers, dry cargo liners, and tankers). Such transportation shall be accomplished when any

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equipment, materials, or commodities, located within or outside  
the United States, that may be transported by ocean vessel are--

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- (1) Acquired for a U.S. Government agency account;
  - (2) Furnished to, or for the account of, any foreign nation without provision for reimbursement;
  - (3) Furnished for the account of a foreign nation in connection with which the United States advances funds or credits, or guarantees the convertibility of foreign currencies; or
  - (4) Acquired with advance of funds, loans, or guaranties made by or on behalf of the United States.
- (b) The Contractor shall use privately owned U.S.-flag commercial vessels to ship at least 50 percent of the gross tonnage involved under this contract (computed separately for dry bulk carriers, dry cargo liners, and tankers) whenever shipping any equipment, materials, or commodities under the conditions set forth in paragraph (a) above, to the extent that such vessels are available at rates that are fair and reasonable for privately owned U.S.-flag commercial vessels.
- (c) (1) The Contractor shall submit one legible copy of a rated on-board ocean bill of lading for each shipment to both--
  - (i) The Contracting Officer, and
  - (ii) The:  

Office of Cargo Preference  
Maritime Administration (MAR-590)  
400 Seventh Street, SW  
Washington DC 20590
- Subcontractor bills of lading shall be submitted through the Prime Contractor.
- (2) The Contractor shall furnish these bill of lading copies (i) within 20 working days of the date of loading for shipments originating in the United States, or (ii) within 30 working days for shipments originating outside the United States. Each bill of lading copy shall contain the following information:
- (A) Sponsoring U.S. Government agency.

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(B) Name of vessel.

(C) Vessel flag of registry.

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- (D) Date of loading.
  - (E) Port of loading.
  - (F) Port of final discharge.
  - (G) Description of commodity.
  - (H) Gross weight in pounds and cubic feet if available.
  - (I) Total ocean freight revenue in U.S. dollars.
- (d) Except for contracts at or below the simplified acquisition threshold, the Contractor shall insert the substance of this clause, including this paragraph (d), in all subcontracts or purchase orders under this contract.
- (e) The requirement in paragraph (a) does not apply to--
- (1) Contracts at or below the simplified acquisition threshold;
  - (2) Cargoes carried in vessels of the Panama Canal Commission or as required or authorized by law or treaty;
  - (3) Ocean transportation between foreign countries of supplies purchased with foreign currencies made available, or derived from funds that are made available, under the Foreign Assistance Act of 1961 (22 U.S.C. 2353); and
  - (4) Shipments of classified supplies when the classification prohibits the use of non-Government vessels.
- (f) Guidance regarding fair and reasonable rates for privately owned U.S.-flag commercial vessels may be obtained from the:

Office of Costs and Rates  
Maritime Administration  
400 Seventh Street, SW  
Washington DC 20590  
Phone: 202-366-4610

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**GENERAL SERVICE ADMINISTRATION REGULATION (GSAR)  
CLAUSES IN FULL TEXT**

**552.203-70 RESTRICTION ON ADVERTISING (DEC 1990)**

The Contractor shall not refer to this contract in commercial advertising or similar promotions in such a manner as to state or imply that the product or service provided is endorsed or preferred by the White House, the Executive Office of the President, or any other element of the Federal Government, or is considered by these entities to be superior to other products or services. Any advertisement by the Contractor, including price-off coupons, that refers to a military resale activity shall contain the following statement: "This advertisement is neither paid for nor sponsored, in whole or in part, by any element of the United States Government."

**552.211-75 PRESERVATION, PACKAGING, AND PACKING (FEB 1996)**

Unless otherwise specified, all items shall be preserved, packaged, and packed in accordance with normal commercial practices, as defined in the applicable commodity specification. Packaging and packing shall comply with the requirements of the Uniform Freight Classification and the National Motor Freight Classification (issue in effect at time of shipment) and each shipping container of each item in a shipment shall be of uniform size and content, except for residual quantities. Where special or unusual packing is specified in an order, but not specifically provided for by the contract, such packing details must be the subject of an agreement independently arrived at between the ordering agency and the Contractor.

**552.211-77 PACKING LIST (FEB 1996)**

(a) A packing list or other suitable shipping document shall accompany each shipment and shall indicate: (1) Name and address of consignor; (2) Name and complete address of consignee; (3) Government order or requisition number; (4) Government bill of lading number covering the shipment (if any); and (5) Description of the material shipped, including item number, quantity, number of containers, and package number (if any).

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(b) When payment will be made by Government commercial credit card, in addition to the information in (a) above, the packing list or shipping document shall include: (1) Cardholder name and telephone number and (2) the term "Credit Card."

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**552.215-72 PRICE ADJUSTMENT-FAILURE TO PROVIDE ACCURATE INFORMATION (AUG 1997)**

(a) The Government, at its election, may reduce the price of this contract or contract modification if the Contracting Officer determines after award of this contract or contract modification that the price negotiated was increased by a significant amount because the Contractor failed to:

(1) provide information required by this solicitation/contract or otherwise requested by the Government; or

(2) submit information that was current, accurate, and complete; or

(3) disclose changes in the Contractor's commercial pricelist(s), discounts or discounting policies which occurred after the original submission and prior to the completion of negotiations.

(b) The Government will consider information submitted to be current, accurate and complete if the data is current, accurate and complete as of 14 calendar days prior to the date it is submitted.

(c) If any reduction in the contract price under this clause reduces the price for items for which payment was made prior to the date of the modification reflecting the price reduction, the Contractor shall be liable to and shall pay the United States-

(1) The amount of the overpayment; and

(2) Simple interest on the amount of such overpayment to be computed from the date(s) of overpayment to the Contractor to the date the Government is repaid by the Contractor at the applicable underpayment rate effective each quarter prescribed by the Secretary of Treasury under 26 U.S.C. 6621(a)(2).

(d) Failure to agree on the amount of the decrease shall be resolved as a dispute.

(e) In addition to the remedy in paragraph (a) of this clause, the Government may terminate this contract for default [cause]. The rights and remedies of the Government specified herein are

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**552.232-8 DISCOUNTS FOR PROMPT PAYMENT (APR 1989) (DEVIATION  
FAR 52.232-8)**

(a) Discounts for early payment (hereinafter referred to as "discounts" or "the discount") will be considered in evaluating the relationship of the Offeror's concessions to the Government vis-à-vis the Offeror's concessions to its commercial customers, but only to the extent indicated in this clause.

(b) Discounts will not be considered to determine the low Offeror in the situation described in the "Offers on Identical Products" provision of this solicitation.

(c) Uneconomical discounts will not be considered as meeting the criteria for award established by the Government. In this connection, a discount will be considered uneconomical if the annualized rate of return for earning the discount is lower than the "value of funds" rate established by the Department of the Treasury and published quarterly in the Federal Register. The "value of funds" rate applied will be the rate in effect on the date specified for the receipt of offers.

(d) Agencies required to use the resultant schedule will not apply the discount in determining the lowest delivered price pursuant to the FPMR, 41 CFR 101-26.408, if the agency determines that payment will probably not be made within the discount period offered. The same is true if the discount is considered uneconomical at the time of placement of the order.

(e) Discounts for early payment may be offered either in the original offer or on individual invoices submitted under the resulting contract. Discounts offered will be taken by the Government if payment is made within the discount period specified.

(f) Discounts that are included in offers become a part of the resulting contracts and are binding on the Contractor for all orders placed under the contract. Discounts offered only on individual invoices will be binding on the Contractor only for the particular invoice on which the discount is offered.

(g) In connection with any discount offered for prompt payment, time shall be computed from the date of the invoice. For the purpose of computing the discount earned, payment shall be considered to have been made on the date which appears on the

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not exclusive, and are in addition to any other rights and  
remedies provided by law or under this contract.

**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT  
DEVELOPMENT FINANCE FELLOWSHIP  
APPLICATION**

*July 12, 1994*

*Ms. Terry M. Hammes, M.B.A.  
460 Hardee Road  
Coral Gables, Florida 33146  
(305) 667-1199/Fax: 667-0440*

**LAST NAME:** HAMMES

1994-95 USAID Development Finance Fellowship Program

## **Applicant Cover Sheet**

**(Please type)**

Name: Therese (Terry) M. Hammes  
First      Middle Initial      Last

**WORK ADDRESS & TELEPHONE/FAX**

Hammes Advertising Inc.  
Hammes Realty Management Corp.  
896 South Dixie Highway  
Coral Gables, FL 33146

Terry Hammes  
460 Hardee Road  
Coral Gables, FL 33146

Tel.: (305) 667-1199/ Fax: 667-0440 (Same)

**EDUCATION SUMMARY (Degree, Year, Major, Institution, City, State)**

1. Masters of Business Administration, 1992, St. Thomas University  
Miami, FL
  2. Bachelor of Fine Art, 1976, University of Miami, Coral Gables, FL
  - 3.

**LIST REFERENCES** (*Name, Institution, or Organization*)

1. Rev. Dr. Patrick O'Neill Joseph Geller, Esq.  
The Catholic Archdiocese of Greater Miami Geller & Geller, P.A.  
Chancellor's Office 1815 Griffin Road, #403  
9401 Biscayne Boulevard Dania, FL 33004  
Miami, FL33138

2.

3. Mr. Jose Calderon, Esq., CEO and President  
First Florida FSB  
4343 West Flagler Street, Miami, FL 33134

*To be filled out by USAID/AAAS only:*

## **APPLICATION MATERIALS RECEIVED**

Letter of Intent \_\_\_\_\_ CV \_\_\_\_\_ Statement \_\_\_\_\_

## 1994-95 USAID Development Finance Fellowship Program

### CERTIFICATION OF ACCURACY

I hereby certify that the information contained in my application materials for the USAID Development Finance Fellowship Program is complete and accurate.

Terry M. Hammes July 13, 1994  
(Signature) (Date)

Name Terry M. Hammes

Address 460 Hardee Road, Coral Gables, FL 33146

City/State/Zip \_\_\_\_\_

### CERTIFICATION OF CITIZENSHIP

I am a citizen of the United States of America.

Terry M. Hammes July 13, 1994  
(Signature) (Date)

*Send to:* USAID Development Finance Fellowship Program  
c/o AAAS  
1333 H Street, NW, Suite 1015  
Washington, DC 20005

*Or Fax to:* 202/289-4950



## HAMMES ADVERTISING, INC.

896 SOUTH DIXIE HIGHWAY, CORAL GABLES, FLORIDA 33146-2674, TELEPHONE (305) 667-1199, FAX (305) 667-0440

July 3, 1994

USAID Development Finance Fellowship Program  
c/o AAAS  
1333 H Street, NW, Suite 1015  
Washington, DC 20005

To the Selection Committee:

Enclosed herein is my application for the USAID Development Finance Fellowship Program. I first learned of the Fellowship Program through an advertisement in the Mart section of The Wall Street Journal in early June, 1994.

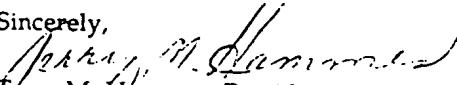
My references will be as follows:

Rev. Dr. Patrick O'Neill  
Priest, former President of St. Thomas University  
The Catholic Archdiocese of Greater Miami  
Chancellor's Office  
9401 Biscayne Boulevard  
Miami, FL 33138  
(305) 866-1931

Mr. Jose Calderon, Esq., CEO and President  
First Florida FSB  
4343 West Flagler Street  
Miami, FL 33134  
(305) 448-7979

Mr. Joseph Geller, Esq.  
Chairman, Dade County Democratic Party  
Geller & Geller, P.A.  
1815 Griffin Road, Suite 403  
Dania, FL 33004  
(305) 920-2300

I will be in Miami for the months of July and August and can be reached at the above numbers. I will make arrangements to travel to Washington, DC on August 18 and/or 19, 1994, as required. Then, I may be reached then at my mother's home in West Springfield, VA, where the local telephone number is (703) 451-8763.

Sincerely,  
  
Terry M. Hammes, President  
Hammes Advertising Inc. and  
Hammes Realty Management Corp.  
enclosures

Ms. Terry M. Hammes/USAID Finance Fellowship

(III) Candidate Statement

1) Why the Fellowship is desired: The USAID Financial Fellowship would be the synthesis of all my experience and interests to date. Working in foreign lands as a consultant with public and private sectors in economic development would be a natural next step in my career path.

Living in Miami, the hub of international trade, banking and commerce for the North-South axis of the EC, US and Latin America, international experience on a governmental level would position myself (and my firm when I return) with added credentials in international trade and development.

2) Why the candidate is qualified: From the perspective of a successful woman entrepreneur, Savings & Loan external bank director, small business owner and financial, business and real estate advertising, marketing and public relations executive for 16 years, and real estate property management company of 8 years, I am qualified to aid developing countries in the areas of business, banking, infrastructure/real estate development and health care sectors of emerging market economies. I hold a recent M.B.A. (Dec. 1992) in International Business from St. Thomas University (formerly of Cuba). A report I authored, "*In Anticipation of a Free Cuba*," discussed international trade implications of a free Cuba. The work was recognized in Chicago in April 1992 at a Wal-Mart sponsored competition, Students in Free Enterprise, among 50 participating universities. The report focused on NAFTA, CBI, GATT, CIA and World Bank/MIGA analysis, the scholarly research of others, and reported on international conferences held in Miami on emerging trends resulting from the conversion to market economies by the former command economies in Eastern Europe, the former Soviet Union, Central America, the Caribbean and in the Far East. It anticipates the likely scenario for the re-entry of Cuba into a market economy and free democracy, from the economic standpoint of this region. The Bank of America expressed serious interest in publishing it, but thought my findings too controversial. Later events have proven my analysis fairly accurate historically, in the 2 years since it was written.

3) What issues interest the candidate: There are several areas in which Hammes Advertising has specialized, which are areas of my interest and expertise. Business Development: I have started three businesses from the ground up without capitalization, and professionally been instrumental with the growth of countless established and start-up businesses through the advertising, marketing and public relations services my firm provides. Banking & Finance: I founded Hammes Advertising when I obtained the Eastern (then Airlines) Credit Union Account in 1978. For the following 4 years, during Eastern Credit Union's most explosive growth, from 8 branches to 23 nationally, I served as their in-house advertising agency. Marketing financial and mortgage services is critical to developing countries success. The access to mortgages for the ownership of property, whether commercial, industrial or residential, is one of the key components of a developing economy. The ability through loan guarantees, foreign investment capital, joint ventures, and the financing of infrastructure improvements is the foundation of economic reform in these developing countries. Real Estate Marketing: One of my favorite areas of interest is developing real estate programs. We are experienced in taking raw land, vacant property and non-performing assets (residential and commercial, mixed-use, airport, and industrial sites) and turning them into productive assets. Our studies, collateral and marketing materials have generated pre- and post-construction lease up, sales, and lending commitments for future phases from financing entities in the multi-million dollar levels. Financial Services: For several financial institutions, we have developed print, radio and TV commercials for mortgage and consumer lending programs in English and Spanish. We represented the nation's 4th largest builder's trade association, BASF -- Builder's Association of South Florida, publishing their monthly newspaper and promoting PAC activities on a local level for several years, 1986 to 1988. Politics: In addition to BASF promotion, I handled the 1985 Young Democrat Convention held in Miami that year. We put together delegates packages, the convention brochure, posters and disseminated information for the convention.

Originally from Springfield, VA, the eldest daughter of an OSS/NSA/FAA Soviet Specialist, I have had a life-long interest in, and exposure to international culture, politics and commerce. At the age of 16, I was selected as a Valley Forge Freedom Foundation Scholar, one of two chosen from Fairfax County, VA. Following graduation from the University of Miami with honors, I worked as Art Director for Colle & McVoy, a 4-star national agency which handled Coral Gables Federal, Home Savings, KLM and Bonair Airlines, John Alden Insurance and Herz Rent A Car. Within eighteen months, Hammes Advertising was founded with the Eastern (Airlines) Credit Union Account. In 1979, at my most busiest with Eastern, it received the highest marketing honor awarded nationally for marketing.

During the expansionary 1980's, Hammes Advertising handled over \$215 million in real estate

Ms. Terry M. Hammes/USAID Finance Fellowship

accounts. We created material which facilitated financing and fulfilled pre-leasing requirements of a \$14 million designer showroom owned by Canadians, a \$10 million office building owned by British interests, helped a Miami charter airline obtain scheduled airline service routes in Florida, prepared a marketing and sales prospectus for Mayfair Realty for the \$100 million Semoran Commerce Center, adjacent Orlando International Airport, represented BASF (Builder Association of South Florida), produced two economic development sections for a glossy magazine, The Office Guide to Miami, which were also stand-alone annual sections distributed by Chamber of Commerce and our local economic development group, The Beacon Council in 1989; handled the Young Democrat National Convention; and represented numerous medical/hospital and high technology companies to expand their businesses. Our work for Ladbrook's US subsidiary, London & Leeds Corp., was cited by the Builders Association of South Florida (BASF) and The Miami Herald in 1989, when our work swept the F.A.M.E. Awards (Florida Awards for Marketing Excellence) for commercial real estate marketing.

We donate our marketing services on a pro bono basis to select civic organizations annually, where we produce materials to effect goals and obtain corporate sponsorships through a "matching" of missions and objectives. A prime example has been my pairing of Miami Children's Hospital with the Miami Youth Museum. This year, MYM has received commitments from MCH totalling over \$200,000. Other examples include the Ponce Development Association, where I produced a brochure which was instrumental in obtaining \$80,000 over 2 years within 2 weeks of the brochure's presentation to the City Commission for a park located in the downtown Coral Gables business district; The Greater Miami Chamber of Commerce's organization for cultivation of future community leaders, Leadership Miami; we did the Membership Brochure defining the organization's objectives for several years; and National Association of Women Business Owners, SBA and US Dept. of Commerce, where I helped organize the first Tri-County Trade Mart in 1987, bringing together the various Federal Government's Procurement Agencies and Women and Minority business owners for the purpose of obtaining federal contracts.

In August 1990, I was asked to join the Board of Directors of First Florida, FSB, as External Director. First Florida, the \$90 million, wholly-owned US subsidiary of Puerto Rico's \$1.8 billion First Federal of San Juan, had been purchased as a failed thrift. When I came on board, 1990 year end figures showed a net operating loss of \$3,323,452. Within three years, despite stringent lending restrictions mandated by a Supervisory Agreement I signed, we completely turned around the bank to profitability, led by President Jose Calderon. I served on the Compliance Committee, devoted to drafting a Policy Manual, the Audit Committee, which monitored compliance to the new procedures, as advertising agency for this Hispanic Bank for print advertising, collateral and point-of-purchase displays. Of all items "shopped" by an independent firm, only the marketing materials scored a perfect "10" rating by all shoppers at all locations. At both First Florida and First Federal, I was the only non-Hispanic, the youngest and the only woman to serve on either Board of Directors. After 2 1/2 years of service, the term expired when the parent and OTS decided to allow greater lending authority if the local operation functioned as a branch, thus dissolving the local Board of Directors. In 1991, I was selected as the winner of the highest recognition for rising professionals in my field, Advertising, as the Up & Comer Award winner, sponsored by Price Waterhouse and South Florida Magazine; a selection made by a panel of some twenty distinguished local businessmen, educators and government officials.

The issues I have participated in to date are subjects of interest to me. I would like to serve in foreign countries. As a Finance Fellow, I would envision a role in the development of banking, real estate, infrastructure, real property and business. I could also be of use in the area of education, disaster and women-issues, small business, and medical marketing, having personal insight into those subjects.

4) What role would candidate envisions as a Fellow: I would like to return to my hometown of Washington, DC as Fellow for the international scope of experience and for the opportunity to ply my craft abroad. I want the opportunity to work with representatives of other governments, much like my father did. In doing so, I would establish a network of governmental, business and friendship associations that will surely last beyond the fellowship term. I would be honored to serve my country.

5) How the candidate hopes the fellowship affects his/her career goals: I envision a long-term role in the diplomatic corps, short-term as a marketing expert who would like to play a key role in the reconstruction of Cuba. I hope to become a White House Fellow next - which, if I am successful, would be the attainment of my longest held career goal. As a 22 year resident of Miami, bilingual, single, and 39 years of age, I would greatly appreciate the opportunity to serve my country and to bring back to Miami the knowledge such an experience would provide.

**Ms. Terry M. Hammes**

**CURRICULUM VITAE**

**Education**

M.B.A., GPA 3.41/4.0, International Business Specialization, 3.67/4.0  
St. Thomas University, Miami, FL , December 1992

B.F.A. Graphic Design, Advertising, Photography, GPA 3.56/4.0  
University of Miami, Coral Gables, FL, May 1976, *Cum Laude*  
Academic and Departmental Scholarship Award Recipient.

**Professional**

1978--

**Hammes Advertising Inc.**

Full Service Advertising, Marketing and Public Relations Firm

1986--

**Hammes Realty Management Corp.**

Licensed Real Estate Brokers, property management and owner  
of 3300 sq. ft. A.I.A. award-winning commercial income  
producing property and corporate home.

1990--92

**Pro-Motion Media Inc.**

Pre-Produced Television Commercials and Media Placement.  
Miami ADI Franchise of Professional Television Productions,  
Dallas, Texas. Targeted advertising for medical and retailers.

**Organizations**

1990-93

Director, First Florida FSB, the wholly-owned U.S. subsidiary of  
the largest Savings & Loan in Puerto Rico, First Federal FSB

Miami Youth Museum, Trustee/Director

Cuban-American Chamber of Commerce, Founder

Member, Greater Miami Chamber of Commerce

Secretary, Gables Professional Court Condominium

Vice President, Secretary, Ponce de Leon Development Assn.

Leadership Miami/Greater Miami Chamber of Commerce

Executive Committee, Public Relations Chairman

Builders Association of South Florida, Publisher/Editor, Newswire

Greater Miami Advertising Federation

National Association of Women Business Owners, PR Chair, 1987-88

Coral Gables Chamber of Commerce, Cultural Affairs Committee

Dade Co. Young Democrats Director; PR, YD National Convention 1985

**Honors**

Alpha Lambda Delta and Orange Key Academic Honor Societies.

*Up & Comer Award Winner* 1991; Finalist 1989 & 1990 in Advertising.  
Sponsored by South Florida Magazine/Price Waterhouse.

Who's Who Listings for The World, Advertising, Finance & Industry, Emerging Leaders and Women, published by Marquis.

**Awards**

*1989 Florida Awards for Marketing Excellence--F.A.M.E. Awards*  
Swept the commercial real estate marketing category: Best Ad  
Campaign, Best Collateral, Best Print Ad, Best Special Event, Best  
Corporate Campaign, sponsored by BASF/The Miami Herald.

**Languages**

Bilingual, Spanish language advertising since 1979.

**Conferences**

Cuba's Economic Reconstruction: A Global Economic Perspective of Foreign Investment in Cuba, 2nd Annual Conference, 1992; University of Miami North-South Center, 6th Annual Seminar on Cuba, 1991;  
Caribbean Chamber of Commerce Seminar , Post Castro Cuba, 1991.

1989-94 Clients of Hammes Advertising, Inc.

1990, 93-94	<b>BANK OF FLORIDA, Mortgage Division</b> John Kantor, President 6262 Sunset Drive South Miami, FL 33143 (305) 663-2727	
1982-92	<b>BE DESIGNS, INC., Architectural Lighting Systems</b> Ben Eglin, President 4659 S.W. 72nd Avenue Miami, FL 33155 (305) 663-5200	
1991-92	<b>DR. ALON BEN-MEIR</b> 375 Central Park West, Suite 11P New York City, NY 10025 (212) 866-5998	
1986-89	<b>BUILDERS ASSOCIATION OF SOUTH FLORIDA</b> Chuck Lennon, Executive Director 15225 N.W. 77th Avenue Miami Lakes, FL 33014 (305) 556-6300	
1991-92	<b>DR. DAVID CANTOR, D.P.M.</b> Kendall Foot Care Center Higate Shopping Center 13878 N. Kendall Drive Miami, FL 33186 (305) 385-1144	Pro-Motion Media and Hammes Adv.
1989-90	<b>CARING FOR KIDS, INC., Child Care Facility</b> Rhonda Conway, Executive Director Koger Executive Center 8301 N.W. 53rd Street Miami, FL 33166 (305) 593-7010	
1991-1993	<b>CORAL GABLES EYE ASSOCIATES</b> A. James Segal, M.D. 1516 Venera Avenue Coral Gables, FL 33143 (305) 661-8588	
1989	<b>CORAL GABLES FEDERAL/PROJECT WORK</b> Karl Steen, Vice President, Director of Marketing 2511 Ponce de Leon Boulevard Coral Gables, FL 33164 (305) 477-4711	
1992-94	<b>COUNTRY WALK ANIMAL HOSPITAL</b> <b>TOWN &amp; COUNTRY ANIMAL HOSPITAL</b> Dr. Eric Wenke, DVM Country Walk Plaza 13804 SW 152nd Street Miami, FL 33177 (305) 251-7000	
1989-90	<b>DADE COUNTY PUBLIC SCHOOLS</b> Kenneth Brandenburg, Assistant Principal <b>HIALEAH ADULT EDUCATION CENTER</b>	

251 East 47th Street  
Hialeah, FL 33013  
(305) 882-1500

1991 DADELAND CHIROPRACTIC Pro-Motion Media  
8905 S.W. 87th Avenue  
Miami, FL 33176  
(305) 279-2222

1989-91 D.B. SUMNER COMPANY Pro-Motion Media  
Debra Sumner, President  
3050 Biscayne Boulevard, #904  
Miami, FL 33137  
(305) 358-6340

1991 DR. HOWARD MAY CHIROPRACTIC Pro-Motion Media  
Advance Tower  
6262 Sunset Drive  
South Miami, FL 33143  
(305) 667-1683

1989-91 GREATER MIAMI CHAMBER OF COMMERCE  
Leadership Miami, Lianne Ventura, Executive Director  
1601 Biscayne Blvd. Omni International Complex  
Miami, FL 33132  
(305) 350-7700

1979-93 GUARD TECHNOLOGIES, INC./GTI INC.  
Sid Johnson, President, Florida  
Two Alhambra Plaza, Suite 110  
Coral Gables, FL 33134  
(305) 446-2041

1991-1992 Dr. RICHARD HOCHMAN, D.P.M. Pro-Motion Media  
475 Biltmore Way, Suite 205  
Coral Gables, FL 33134  
(305) 442-4096  
and Hammes Adv.

1989 HOMEOWNERS U.S.A. Insurance Agency  
Joseph Pallant, President  
4000 N.E. 2nd Avenue  
Miami, FL 33137  
(305) 576-1550

1987-89 HOWELL COMPANIES, INC.  
Ladd Howell, President  
3306 Ponce de Leon Boulevard  
Coral Gables, FL 33134  
(305) 448-4460

1989-91 KB DEVELOPMENT/8700 DORAL  
Bill Biondi, President  
1401 Brickell Avenue, Suite 803  
Miami, FL 33131  
(305) 358-1401

1991 LEHMAN PIPE & PLUMBING  
Dennis Lehman, President  
230 Northwest 29th Street  
Miami, FL 33137  
(305) 576-3054

1987-89, 93-94 LONDON & LEEDS CORPORATION/901 PONCE

Anthony Grant, President  
THE MANHATTAN TOWER  
101 East 52nd Street  
New York, NY 10022  
(212) 308-1088

1991 DR. RALPH MARTINEZ CHIROPRACTIC Pro-Motion Media  
105 NE 11th Street  
Homestead, FL 33030  
(305) 248-2553

1990-91 METRO-DADE POLICE DEPT.  
Det. Cory Reyes  
Business Management Section  
9105 NW 25th Street, Room 3049  
Miami, FL 33172  
(305) 479-2729

1979, 89-94 MIAMI CHILDREN'S HOSPITAL  
Michael Justice, Operations Manager  
MCH Productions  
6125 S.W 31st Street  
Miami, FL 33155  
(305) 663-8492

1990-1992 MIAMI-HIALEAH ADULT EDUCATION CENTER  
Mr. Ron Altman  
751 Dove Avenue  
Miami Springs, FL 33054  
(305) 885-3585

1992-94 MIAMI YOUTH MUSEUM  
Barbara Zohlman, Executive Director  
The Bakery Center  
5701 Sunset Drive  
South Miami, FL 33143  
(304) 661-3046

1991-1993 NADIA HOMES, INC./SWEETING CONSTRUCTION INC.  
Walter Sweeting, President  
SOUTH DADE RETIREMENT COMMUNITY and  
ROSE BAY GARDEN HOMES  
5825 Sunset Drive, Suite 301  
South Miami, FL 33143  
(305) 666-0800

1992-94 NIRIT REALTY INC., Realtors  
Ms. Nirit Welkovitz  
Biscayne Professional Plaza  
21000 NE 28th Avenue  
Miami, FL 33180  
(305) 931-8277

1989 OFFICE GUIDE TO MIAMI  
Sandy Ellis, Publisher  
7925 N.W. 12th Street, Suite 317  
Miami, FL 33126  
(305) 477-2788

1990-92 PROFESSIONAL TELEVISION PRODUCTIONS, INC. and  
UNITED STATES PROFESSIONAL MARKETING ASSOCIATION  
William Criswell, President  
4851 Keller Springs Drive, Suite 204

Dallas, TX 75248  
(800) 444-6414 Pro-Motion Media

1989-91 PAYMATE, INC.  
Vickie R. Meacomes, President  
3191 Coral Way, Suite #645  
Miami, FL 33145-3213  
(305) 444-3696

1989 ROSS & ASSOCIATES, INC., Realtors  
Audrey Ross, President  
One Biscayne Tower, Suite #1910  
Miami, FL 33131  
(305) 358-4003

1991 SANDVIK LATIN AMERICA  
Mr. Bertil von Essen, President  
896 South Dixie Highway  
Coral Gables, FL 33146  
(305) 661-2709

1991-1992 DR. GEORGE SCHWENCK, D.P.M. Pro-Motion Media  
Miami Lakes/Aventura/North Miami Beach  
15600 N.W. 67th Avenue, Suite 308  
Miami Lakes, FL 33014  
(305) 556-FEET

1993-94 SUMMIT COMMUNICATIONS INC.  
Gregory Marshall and Mitchell Newman  
12000 Biscayne Blvd., Suite 204  
North Miami, FL 33181  
(305) 893-9280

1985-89 SUNSHINE MEDICAL CENTER  
Peter Genovese, M.D. and Alan Roberts, M.D.  
6341 Sunset Drive  
Miami, FL 33143  
(305) 666-5971

1992 DR. RAFAEL J. VALDES, D.D.S.  
College Park Shopping Center  
10543 S.W. 109th Ct.  
Miami, FL 33176  
(305) 595-1774

1989-91 WERNER CAPITAL/ANOTHER GENERATION ENTERPRISES  
Jay Miller, Vice President Acquisitions  
GRAND BAY OFFICE TOWER  
2655 South Bayshore Drive, Penthouse II  
Miami, FL 33133  
(305) 856-6444

References

David B. Mitchell, Esq., P.A  
896 South Dixie Highway  
Coral Gables, FL 33146-2674  
(305) 661-4556

George Corrigan (former C.G. Mayor)  
President, THE BANK OF CORAL GABLES  
2701 Ponce de Leon Blvd.  
Coral Gables, FL 33134  
(305) 441-9000

Mr. Jose Calderon, Esq., President and CEO  
FIRST FLORIDA SAVINGS BANK, FSB  
4242 W. Flagler Street  
Coral Gables, FL 33134 / (305) 448-7979

Allan White, Realtor, S.I.O.R.  
COMMERCIAL REALTY ALLIANCE  
250 Bird Road, Suite 301  
Coral Gables, FL 33134  
(305) 444-4994

### **Hammes Advertising Inc. Key Facts**

***Hammes Advertising Inc. is a 15 year-old full-service marketing communications firm specializing in advertising, public relations, promotions, trade exhibits, sales training and film/video production.***

#### **TERRY HAMMES**

Terry Hammes, President of Hammes Advertising, Inc. has built her enterprise on the principles of sound strategic management and financial accountability.

We have successfully applied this principle in developing marketing programs for clients in the areas of

- |                    |                            |                   |                         |
|--------------------|----------------------------|-------------------|-------------------------|
| ● Real Estate      | ● Financial Services       | ● High Technology | ● International Trade   |
| ● Medical          | ● Banking & Finance        | ● Manufacturing   | ● Professional Services |
| ● Direct Marketing | ● Educational Institutions |                   | ● Wholesale             |

Ms. Hammes earned her M.B.A. in International Business from St. Thomas University, Miami. Ms. Hammes has conducted specialized studies in international trade and is the author of *In Anticipation of A Free Cuba, How to Do Business With Cuba* which recently was recognized in a Wal-Mart sponsored regional competition against 50 other universities.

Ms. Hammes earned her B.F.A. cum laude from the University of Miami, in advertising in 1976. She has served on the Board of Directors of First Florida Savings FSB, the U.S. subsidiary of Puerto Rico's largest thrift, First Federal Savings and as a Trustee of the Miami Youth Museum. She was the 1991 Up & Comer Award Winner for Advertising, sponsored by Price Waterhouse and South Florida Magazine.

Hammes Realty Management Corp. designed, leased, manages and owns the 1986 A.I.A. award-winning commercial office building in Coral Gables. Hammes Advertising swept the 1989 F.A.M.E. (Florida Award for Marketing Excellence) Awards sponsored by the Builders Association of South Florida and The Miami Herald in Commercial Real Estate Marketing for Best Ad Campaign, Best Corporate Campaign, Best Collateral, Best Special Event and Best Print Ad. Pro-Motion Media, franchise of Professional Television Productions of Dallas, Texas, is a medical, retail and financial services pre-produced television commercial and media placement company, and subsidiary of Hammes Advertising.

#### **ROD CARLSON**

Rod Carlson's experience includes an M.B.A. in Marketing from the University of Virginia, combat experience as a Marine helicopter pilot in Vietnam, serving as director of client service for Caravetta Allen Kimbrough/BBDO and president of Susan Gilbert & Company, one of the most successful creative boutiques in South Florida in the 1980's. His range of account experience includes:

- |                      |                         |              |                     |
|----------------------|-------------------------|--------------|---------------------|
| ● Ryder System, Inc. | ● Rinker Material Corp. | ● 3M         | ● General Foods     |
| ● Benihana           | ● Heinz Foods           | ● United Way | ● First Bank System |

Carlson's experience in financial marketing also includes a serving as advertising manager for First Bank System in Minneapolis and as account supervisor on Flagship Banks, which was acquired by Sun Bank.

His leadership experience includes packaged goods, financial, cruise lines and travel--high technology and a broad range of business-to-business accounts. Areas of expertise include: strategic marketing planning, sales force management, compensation and training, public relations, promotion and advertising. His undergraduate degree is from Principia College. Carlson also has served as an adjunct professor at FIU and as an expert witness for advertising in commercial litigation.

***Hammes Advertising has formed a tri-lateral international marketing network which was spearheaded by the Florida Department of Commerce's London office with MDG Marketing Design Group. MDG has offices in London representing the EC and in Trinidad representing the Caribbean. We are cooperating on accounts with international trade requirements.***

**Hammes Advertising Inc. Financial, Real Estate & Technology Clients**  
*Celebrating Our 16th Year of Business*

*Hammes Advertising is one of the most experienced real estate marketing firms for both residential and commercial real estate in South Florida. We have also worked extensively with financial institutions and sub-contractors to the builder's trade.*

**Eastern Financial Credit Union:** As the prime in-house Ad Agency, Hammes Adv. was in charge of designing coordinated direct mail campaigns, each tailored to the various cities. Primarily engaged in the design, implementation and execution of direct solicitations and stuffers, we also prepared material for annual meetings, trade seminars, collateral and advertising. Upon beginning on the account in 1978, there were eight branch offices nationwide. By 1982, in conjunction with the Miami-based marketing headquarters, we were handing the work of over twenty-three branches -- during the most profitable period of growth at Eastern Airlines Credit Union in the company's history. In 1979, Eastern Financial received the top Marketing award for Credit Unions in the U.S., when Hammes Advertising was the prime in house marketing and graphic designer. (1978-1982).

In 1994, Hammes Advertising is working with Eastern Financial to develop its Hispanic Marketing bilingual program for financial services. Eastern Financial is the fourth largest credit union in the country and largest in the southeast.

**Devoe Airlines:** Established charter business marketing campaign throughout the Caribbean and Central America. Collateral and Advertising. Prepared detailed marketing study and analysis for the client targeting the Miami International Port Authority which allowed the Airline to be granted a Florida route system of scheduled service. Corporate identity logo applications as applied to aircraft, trucks, lighted airport displays, uniforms, advertising and print collateral. Sold profitably to Gulf Atlantic Air. (1978 - 1981).

**First Florida Savings FSB:** As external bank director (T. Hammes) and Advertising Agency of Record for the bank, English and Spanish language ads were produced to generate loans for "more" house, "more" boat and for "more" for your money. Print ads, statement stuffers, banners and point of purchase displays were given the top score of 10 by an independent "shopping" firm the bank engaged to analyze bank employee performance. (1990-1993).

**London & Leeds Corporation:** Marketing of a marble facade \$10 million dollar landmark office, 901 Ponce, including national, regional and local advertising campaign, public relations, special events, promotion. During the campaign period, we helped generate an approximately 30% increase in occupancy during the worst commercial market in 50 years in Coral Gables. At the same time there was a 34% vacancy rate city-wide, and an actual negative absorption rate during the second and third quarters '87. The Special Event, "Encounters & Collaborations" was a ten art gallery collaboration, curated by the Cuban Museum of Art & Culture. Funded by a \$50,000 corporate gift from L&L, the opening at 901 Ponce was attended by over 500 people. The art galleries represented crossed all geographic and cultural boundaries represented in Dade County and produced awareness of our client within their target market of corporate professionals. The event received wide media coverage. Also Point-of Purchase Materials, Public Relations and Special Events

\* Note: Client is a Multinational billion dollar corporation.

**Florida Award for Marketing Excellence** sponsored by BASF/Miami Herald in the Commercial Real Estate Marketing category.

1989 F.A.M.E. Award: Best Print Ad  
1989 F.A.M.E. Award: Best Print Ad Campaign  
1989 F.A.M.E. Award: Best Collateral  
1989 F.A.M.E. Award: Best Corporate Campaign  
1989 F.A.M.E. Award: Best Special Event

After a 3 year hiatus and a complete change of London & Leeds management from the President down to local personnel, Hammes Advertising has again been selected as Agency for the 1993-94 campaign, on the recommendation of Leasing Agent Cushman & Wakefield. (1987-1994)

**GTI Inc. Guard Technologies Inc.**: (formerly Guardsman Security). Directed corporate expansion that today represents 60% of the commercial office building security market in Dade County. On the leading edge of development in the technology relating to computer-aided central station and remote/on-site security monitoring, through our work in public relations, advertising, collateral and display graphics the firm is now the most prominent in the area. Helped coordinate their expansion to Orlando, Princeton, NJ and Stamford, CT. Design of graphics for the corporation as applied to print, architectural applications, vehicles, uniforms, of both GTI and its' predecessor corporation, Guardsman Security. (1979-1993).

**Bank of Florida:** Developed Mortgage marketing program for residential mortgage sales. In 1993, Hammes Advertising Inc. is developing new marketing collateral targeting Small Business, Professional and Health Care Professionals. Print, collateral, radio campaigns. (1989-1994).

**Builders Association of South Florida (BASF):** Researched, wrote, photographed and produced the award-winning monthly trade newspaper of the fourth largest builders association in the nation. Also coordinated PAC (Political Action Committee) endorsements and special events publicity. Published the Association's communication program, the award-winning monthly BASF Newswire. (1986-1989).

**Sweeting Construction Inc.**: Nadia Homes/Rose Bay/ South Dade Retirement Community: Assisted the developer of Rose Bay and South Florida Retirement Community, Southern District HUD Representative Walter Sweeting with advertising and marketing programs which resulted in approval for Dade County Bond financing for low income and HUD approved Single Family Homes. (1989-91).

August 1993, Public Relations presentation to the Beacon Council resulted in Sweeting Construction winning the Beacon Council's Network 10 Awards as one of the top 10 Minority firms in Florida, with revenues projected at \$15 million for 1993.

**Regency Woods, Naples, FL:** Collateral development for residential adult garden homes; brochures, ads, direct mail, corporate image. The Developer/Financier, Charlie Cheezem of Miami has built several of Miami's major high rise residential projects, including South Point, Brickell Key, Brickell Bay and Charlestown. (1986).

**MID2: Miami Inter Design Center:** Created the leasing package on a pre-construction project that allowed 100% lease up within six months before ground-breaking. Assured financing and a Phase III commitment by their lender for the \$14 million showcase anchor property of marble and blue glass in Miami's Design District. Also involved in media coordination of a spectacular Grand Opening party covered by print and electronic media. The grand opening was one of the most lavish for property openings in Miami history. Developed commercial leasing collateral

material and public relations program for the anchor property in the nation's third largest design district. (1987).

**KB Development/8700 Doral:** Working with the 1993 Miami Realtor Association President Bill Biondi, we developed a series of color and B&W ads which were run in sequential order in glossy industry publications and newspapers. Each ad focused on a different facet of the site: R&D Facilities, Warehouse/Flex Space and Acreage. Supporting collateral and direct mail pieces supported the print advertising of the \$13 million dollar R&D/Warehouse/Acreage and former headquarters of Racel-Milgo. (1989-1992).

**Werner Capital/ 8700 Doral and Another Generation Enterprises Pre-School:** Werner Capital was the owner of 8700 Doral. Another Generation Preschools involved direct mail distribution coordinated through the Office/Industrial Guide publications. (1992).

**Calusa Farms:** Produced the print collateral and Sales Center Displays for residential town house community. (1978).

**Semoran Commerce Center:** Broker's Sales Prospectus for \$100 million dollar Orlando Airport area PUD (Planned Urban Development) which was developed using bond offering research.

**I.R.E. Financial:** (Real Estate Syndicators) Newsletter design, writing and production. Excel Realty/Coral Springs Mall Leasing brochure for owner's brokerage arm of retail regional shopping mall. (1986-87).

**GCA, General Contractors/Holross International for InterCap Investments:** 20-page 4/c glossy corporate brochure outlining scope of services for high-end interior construction firm specializing in Brickell Avenue high rises. The primary clients were located in 800 Brickell, the property the parent company, InterCap Investments developed. (1983).

**Worsham Brothers/The Hyatt Riverwalk Shops:** co-op ads featuring 10 retail stores and restaurants located on Miami River. (1985).

**D.B. Sumner Company Realtors,** Extensive public relations, direct mail and corporate advertising. (1988-91).

**Nirit Realty, Realtors:** Direct mail and advertising campaign targeted to luxury waterfront condominium market in Northeast Dade County Florida. (1990-94).

**Colle McVoy Advertising Agency**, a four star Minneapolis-based firm with five offices nationally, where we were responsible for Coral Gables and Home Federal S&L's, KLM and Hertz Car Rental accounts as Creative and Art Director on print advertising, direct mail and collateral work.

**Hammes Realty Management Corp., President.** The A.I.A. award-winning office property, designed, owned and managed by Hammes Realty Management Corp., Licensed Real Estate Brokers. Corporate home of Hammes Advertising, Inc. and is income property. Tenants include the Swedish multi-national company, Sandvik Latin America and the offices of the University Travel -- a Branch of Venezuela's largest bank, Banco Union. Also Secretary of Gables Professional Court Condominium Association. (1986-94).



Price Waterhouse

South Florida.  
THE REGIONS MAGAZINE

October 1991

Judging Criteria

1.  
"Up & Comer" nominees for 1991 must be 40 years of age or younger, born after January 1, 1951.

2.  
An "Up & Comer" should have a strong "track record" in his or her chosen field of endeavor.

3.  
In addition, an "Up & Comer" should be involved in community activities, with a genuine desire to contribute to the betterment of society.

4.  
Finally, and perhaps most importantly, an "Up & Comer" should demonstrate leadership skills and the potential for assuming an even greater role within the community in the foreseeable future.

1991 WINNER

Advertising

TERRY M. HAMMES

Terry M. Hammes, 36, is president of Hammes Advertising Inc., Pro-Motion Media Inc. and Hammes Realty Management Corp. Inc., a real estate firm that occupies the award-winning building she designed



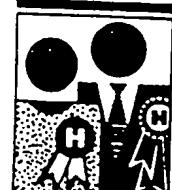
Hammes is a trustee of the Miami Youth Museum, a PR-communications chairperson for Leadership Miami and vice president of the Ponce de Leon Development Association. She's working on her M.B.A at St. Thomas University, concentrating on international relations with an emphasis on Cuba. "I feel the opening of Cuban-American trade will have a tremendous impact on the South Florida economy," she says.

HAMMES ADVERTISING, INC.  
896 SOUTH DIXIE HIGHWAY  
CORAL GABLES, FL 33146-2674  
(305) 667-1199 / FAX: 667-0440

2B THE MIAMI HERALD, FRIDAY, SEPTEMBER 13, 1991  
HONORED

Who will be Miami's leaders of the future? Figuring that out is the role of the Up and Comer Awards, sponsored by Price Waterhouse and South Florida Magazine.

Fifty-one finalists in 17 categories were recognized Thursday for their professional achievement and community contributions in Dade County. Winners of the fourth annual awards are:



Olga M. Aguirre-Fernandez, 34, a certified public accountant; Terry M. Hammes, 36, marketing company president; Joseph Illick, 32, Miami Opera Ensemble artistic director; Raul D. Tercilla, 33, Rouse-Miami vice president; Stan Kryder, 34, Dade president of First Union National Bank; Beth Levey Beckstein, 33, Camillus House associate director; Octavio J. Villedo, superintendent of Dade Public Schools;

Jorge Carballo, 34, chief executive officer of Jorge & Jerry's Marketplace; Jay Robert Pucha, 36, personal markets president for American Bankers Life; state Rep. Daryl L. Jones, 36; Dr. Pedro Jose Greer Jr., 35, founder of Camillus Health Concerns; Barry E. Johnson, 39, regional manager/corporate affairs of AT&T; Hilarie Bass, 36, attorney; John G. Kiskinis, 31, president of Kiskinis Communications; Jose Diaz-Balart, 31, WTVJ-Channel 4 weekend anchor; Yaromir Steiner, 39, developer of Cocowalk; and chef Allen Susser, 35.

Advertising



Christie Ferris, 35  
Director Brand Communications  
Burger King Corporation

Aside from overseeing the production of more than 100 Burger King television commercials each year, Ms. Ferris works closely with four national advertising agencies and is responsible for the development and execution of marketing plans aimed at minorities. She implemented an award-winning "Stay in School" campaign for teens and a national campaign that won a "Best Hispanic Advertising" award. She is a member of the Saturn Council of South Florida and a volunteer for Child Assault Prevention Services and the Children's Home Society.



Terry M. Hammes, 36  
President

Hammes Advertising Inc., Hammes Realty Management Corp., and Pro-Motion Media Inc.

Ms. Hammes has single-handedly built three companies from the ground up. She has won numerous advertising awards and designed, managed and marketed an award-winning commercial structure, which her realty company owns and occupies. She is a trustee of the Miami Youth Museum, a member of the executive committee for Leadership Miami and vice president of the Ponce de Leon Development Association.



Bruce Turkel, 33  
President  
Turkel Advertising

As president of his own firm, Mr. Turkel is responsible for new business development, award-winning creative output and the administration of the agency, which has grown from a one-man operation to 13 employees in eight years. A native of South Florida, he finds time to work with the Children's Home Society, PACE and the Greater Miami Chamber of Commerce and to produce pro-bono ad campaigns on their behalf. He was elected to the Advertising Federation's board of directors and selected as "most outspoken" by the 1991 class of Leadership Miami.

1991 FINALISTS

SEPTEMBER 25, 1991



# Tolle Lege

NEWS OF AND FOR THE ST. THOMAS UNIVERSITY COMMUNITY

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B.E.S.T.  
Inaugurates  
Innovative Dual-  
Enrollment  
Program

---

Faculty Members  
Offer Expertise  
in Far-Flung  
Locales

---

Faculty Member,  
Student, and  
Alumnus  
recognized by "Up  
& Comers" Award

---

Newly Adopted  
Code to Establish  
Campus  
Standards  
Committee

---

Rosa Santiago is coordinating a dual-enrollment program with Miami Springs Senior High School — a first of its kind in the area. Fourteen students are currently involved in the Academy for Tourism, which provides two courses developed to introduce them to the world of travel and tourism. This exchange is a first between a private, Catholic University and a public high school. The intent is aimed at students who may wish to continue their education here at STU in the Travel and Tourism division.

Elizabeth Ferrero recently returned from a very successful eight weeks in Italy as director and coordinator of the S.A.F.E. environmental studies program, headlined by Fr. Thomas Berry, a world-renowned environmentalist and theologian. Students and faculty investigated the various dimensions of an environmentally safe world and had the opportunity to explore the beautiful Umbrian countryside where Assisi and its famous son, St. Francis, rest.

Sr. Helen Rosenthal was a presenter at a week of spiritual direction exercises for the Episcopal diocese of Montana. Sister held the unique position of being a Roman Catholic woman religious addressing an Episcopalian conference of female priests.

Joe Holland recently returned from a series of conferences on bio-medical ethics and the role of hospitals, held in Montana and Ohio, as well as conferences and lectures in Massachusetts and New York.

Joe Iannone will be part of a SACS visitation team here in South Florida as he looks into the program at St. Thomas Aquinas High School in Ft. Lauderdale.

Richard Raleigh and Frank Sicius have spent the past seven months involved with the Spain program. Rich spent Spring Semester and Summer Session in Spain as part of the faculty. Frank traveled to Spain twice during this period to gather reactions and field input on the program. He also finalized plans for 14 Spanish students to complete their undergraduate work here at STU. They have been enrolled in our program in Spain for two years.

Sports Information Director Joyce Countiss will be presenting a paper at the Florida Association for Health, Physical Education, Recreation, and Dance annual convention, to be held at the Bonaventure Resort October 16-20, concerning new research regarding the status of women coaches in the state of Florida.

Paul Klein, professor of Tourism and Hospitality, was among a select group of 650 young (under 40) professionals nominated for their outstanding professional achievements and civic contributions. The Up and Comers Award is sponsored by South Florida Magazine and Price Waterhouse, and recognizes an individual's current achievements as well as one's potential for future involvement in the community.

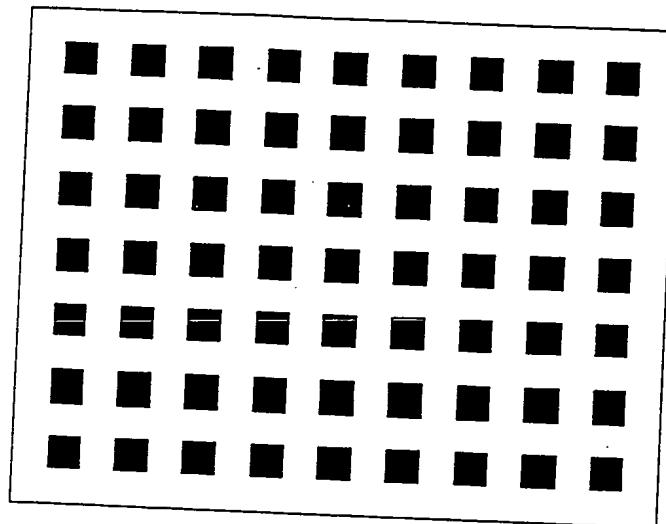
Terry Hammes, who is pursuing her MBA degree here at STU, was the award recipient in the Advertising category. She is president of three companies which she built from the ground up. \*

An alumnus from STU, Alexander Penelas, was a finalist in the Government category. He is a Dade County Commissioner and is involved in the policy-making for county-wide services that impact more than two million residents.

A new Campus Standards Committee is being formed with eight members of the University community, including two representatives of the University staff. Staff members and administrators are encouraged to volunteer to serve on the committee. Any individual who wishes to serve should submit their name to the Office of the Dean of Student Affairs no later than October 1, 1991. The newly adopted University Student Code on Rights, Responsibilities, and Conduct has mandated the establishment of the group. If there are any questions, please call Dean Zarzyck's office directly.

Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343  
1468

PCT/US 00/00382



GRADUATE CATALOG  
**1990-1992**

*Florida's Archdiocesan Catholic University*

## MASTER OF BUSINESS ADMINISTRATION (MBA)

The MBA curriculum provides a basic knowledge in the primary core areas of business (24 semester hours) and intensive preparation in one of three specializations (18 semester hours). A series of three preparatory courses (9 credits total) provide the needed base skills for those students who have not majored in business or related areas in their undergraduate degree. Concepts and theory are combined with applications. The program's objective is to develop potential managers who not only have the knowledge necessary for today's rapidly changing, unpredictable business environment, but have the skills to apply and utilize this knowledge on an appropriate contingency basis in positions of authority.

The St. Thomas University Master of Business Administration degree is designed for students who are currently in, or plan to enter, responsible positions of management, primarily in general management, international business, or health management.

This program provides a balance between the quantitative and behavioral aspects of management and focuses on the needs of part-time students who may have special concerns because of their employment responsibilities. The MBA also provides an opportunity for full-time students to complete the degree program in four semesters.

The St. Thomas University Master of Business Administration program has a full-time and adjunct faculty representing a broad background in management, international business, and health management. The MBA is accredited by the Southern Association of Colleges and Schools.

### ADMISSION REQUIREMENTS

Admission to the St. Thomas MBA program is handled in two stages. All applicants should submit the following documents:

- Completed application with appropriate fee
- Official transcripts from all institutions attended documenting possession of a Bachelor's degree from an accredited American college or university (SEE NOTE)
- Two letters of recommendation (one must be from an immediate supervisor or the applicant's undergraduate advisor)
- A typed two page, double-spaced autobiography
- A resume detailing all work experience (full and part time)

Upon our receipt and evaluation of these documents, you will be notified of a date for an interview with faculty members. Within two weeks after completion of the interview, you will be either accepted, rejected or asked to provide additional information, usually including taking the Graduate Management Admission Test (GMAT).

NOTE: Students who do not meet this requirement must submit an acceptable GMAT score, and if studies were not conducted in English, must submit an acceptable score on the Test of English as a Foreign Language (TOEFL), before they will be considered for admission.

## DEGREE PROGRAM

The MBA degree requires fifty-one (51) credits—nine (9) credits of preparation courses, twenty-four (24) credits of core courses and eighteen (18) credits in the specialization area. Up to nine (9) credits of graduate preparatory courses may be waived, based on the satisfactory completion of the following undergraduate equivalencies: accounting—6 credits, economics—6 credits, and/or business statistics—3 credits. All courses offered carry three (3) semester hours of credit. Students are required to maintain a 3.0 (B) Grade Point Average at all times for continuation in the program. Students may not withdraw for more than one consecutive semester without advance written permission of the Director of Graduate and Continuing Education if they desire to continue at a later date.

## COURSE REQUIREMENTS

### Preparatory Courses (9 credits, part or all of which may be waived)

BUS 530	Essentials of Accounting .....	(3)
BUS 531	Essentials of Economics .....	(3)
BUS 532	Statistical Analysis for Management .....	(3)

### Core Courses (24 credits)

MAN 510	Management Ethics .....	(3)
BUS 670	Advanced Operations Management .....	(3)
BUS 673	Management Writing and Reporting .....	(3)
MAN 700	Organizational Behavior .....	(3)
BUS 704	Policy, Planning and Strategy Systems .....	(3)
BUS 705	Advanced Information Systems .....	(3)
BUS 751	Financial Management .....	(3)
BUS 770	Managerial Accounting .....	(3)

### International Business Specialization (18 credits)

BUS 671	International Economics .....	(3)
BUS 672	Multinational Marketing Concepts and Strategies .....	(3)
BUS 775	Seminar in International Business .....	(3)
BUS 776	International Business Law .....	(3)
BUS 777	International Finance and Banking .....	(3)
BUS 778	Issues and Applications in Import/Export .....	(3)
BUS 779	International Trade .....	(3)
BUS 789	Graduate Project .....	(3)
BUS 792	Business Internship I .....	(3)

### Plus three of the following six courses: (9)

BUS 771	International Business Law .....	(3)
BUS 772	International Finance and Banking .....	(3)
BUS 774	Issues and Applications in Import/Export .....	(3)
BUS 776	International Trade .....	(3)
BUS 789	Graduate Project .....	(3)
BUS 792	Business Internship I .....	(3)

### Health Management Specialization (18 credits)

MHM 680	Medical Care Organization .....	(3)
MHM 682	Legal Aspects of Health Administration .....	(3)
MHM 694	Seminar in Health Care Administration .....	(3)
MAN 703	Human Resource Management .....	(3)
BUS 750	Marketing Management .....	(3)

<i>Plus one of the following four courses: (3)</i>		
MHM 684	Health Care Budgeting and Financial Management .....	(3)
MHM 692	Hospital Administration .....	(3)
MHM 789	Graduate Project .....	(3)
BUS 792	Business Internship I .....	(3)
<i>Management Specialization (18 credits)</i>		
MAN 701	Organization Design and Theory .....	(3)
MAN 703	Human Resource Management .....	(3)
BUS 750	Marketing Management .....	(3)
BUS 776	International Trade .....	(3)
<i>Plus two of the following eight courses: (6)</i>		
BUS 672	Multinational Marketing Concepts and Strategies .....	(3)
MAN 712	Labor-Management Relations .....	(3)
MAN 727	Organizational Development .....	(3)
BUS 736	Entrepreneurship .....	(3)
BUS 771	International Business Law .....	(3)
BUS 772	International Finance and Banking .....	(3)
BUS 789	Graduate Project .....	(3)
BUS 792	Business Internship I .....	(3)
<i>COMPREHENSIVE EXAMINATION</i>		
All Master of Business Administration candidates are required to satisfactorily complete a Comprehensive Examination in order to graduate.		
<i>COURSE DESCRIPTIONS</i>		
BUS 530 Essentials of Accounting		
An intensive study of accounting practices, offered at the graduate level for those with no previous background in accounting. An accelerated course covering the collection, reporting and interpreting of financial data of a modern business firm.		
BUS 531 Essentials of Economics		
An intensive treatment of basic principles of economics covering macroeconomics and microeconomics designed for graduate students with no previous exposure to the field. Current developments in the economy, resource allocation, market structure and competition, and the relationship of economic policy to business are covered.		
BUS 532 Statistical Analysis for Management		
An overview of basic probability and other statistical techniques to provide a foundation for the use in analyzing business data. Numerous basic statistical methods are explored.		
BUS 670 Advanced Operations Management		
An overview of advanced concepts in operations management, including planning the operations system, organizing for operations, and controlling operations. Concepts, theories, and decision-making techniques are combined with computer-augmented case studies. (Prerequisites: BUS 704 and BUS 512 or equivalent.)		
BUS 671 International Economics		
A comprehensive view of economics in the international environment, including theory of international trade, foreign exchange, factor movements, macro-politics for open economies, and comparative approach to economics. (Prerequisite: BUS 531 or equivalent.)		

**BUS 672 Multinational Marketing Concepts and Strategies**  
Concepts, theories, and applications of marketing in an international environment, including the analysis of marketing efforts and legal aspects of multinational marketing.

**BUS 673 Management Writing and Reporting**  
Effective methods of researching, writing, and presenting case studies and management reports. Required course in the first semester.

**BUS 704 Policy, Planning and Strategy Systems**  
Concepts, theories, and practices in public, private, and non-profit organizations of policy-making, strategy, planning, budgeting, and various implementing systems. The case study method is integrated with a contingency approach to management.

**BUS 705 Advanced Information Systems**  
Computer information systems are approached from an operating manager's perspective—what the systems' capabilities are, how they should be designed and managed, and how their benefits can be best assured for the organization. Theory is combined with case studies.

**BUS 731 Marketing Research**  
An in-depth study of the organization, procedures and applications of marketing research used by management is developed. A marketing research project provides experience in planning marketing research projects, problem definition, research design, sampling, field work, quantitative data analysis, and oral and written report presentation. (Prerequisites: BUS 532 or equivalent and BUS 673.)

**BUS 732 Consumer Behavior**  
Psychological and social influences, as well as models of consumer behavior are examined critically. Subjects include consumer decision process stages, motivation, perceptions, attitudes, and life styles. Their relevance is shown to product development, positioning, market segmentation, promotion and communication.

**BUS 733 Strategic Market Planning and Implementation**  
Several frameworks for planning, including ways of analyzing environmental trends, cost dynamics, competitors, customers and market characteristics. Formal strategic planning methods, including portfolio analysis, and market attractiveness/business assessment analysis. (Prerequisites: BUS 731 and BUS 730.)

**BUS 734 Sales Management and Training**  
The nature of personal selling and methods of organizing, evaluating and controlling this effort. An evaluation of current practices in selecting, training, compensating, and supervising outside salesmen. Quantitative methods of market analysis for planning and controlling the work of the sales force. (Prerequisite: BUS 730.)

**BUS 735 Marketing Communication**  
Advertising, public relations, publicity, personal selling and sales promotion. Basic communications theory, communications plan development and relations with media, the general public, the community, employees, stockholders, vendors and customers. Subjects include consumer attitudes toward advertising, models of media selection, and advertising effectiveness measurement, and creativity in developing marketing communications. (Prerequisite: BUS 730.)

**BUS 736 Entrepreneurship**  
This course deals with the formation of a new enterprise as well as managing a small, growing business. It considers the characteristics of the successful entrepreneur, methods of identifying new opportunities, legal and tax aspects of starting a new enterprise, as well as pros and cons of various forms of organization.

**BUS 740 Corporate Finance**  
(Portfolio structure, management theories, money market instruments, secondary credit instruments and institutions, interest rate theory, monetary theory, current monetary problems and policies, and international banking and financial issues. Cash management, credit policy, banking relations, short-term forecasting, accounts payable management, and liquidity policy. (Prerequisite: BUS 751.)

**BUS 741 Investment Analysis**

Study of principles and practices used in analyzing securities ranging from top-quality bonds to low-quality common stocks and warrants. Investment risks, portfolio management, and policies of institutions investors. Application of analytical techniques to securities, effective income/risk selection of securities and portfolios in theory and practice. (Prerequisite: BUS 751.)

**BUS 742 Financial Markets and Intermediaries**

An examination of commercial banks and other financial intermediaries. The economic functions of credit and credit institutions; the structure and determinants of interest rates; and the various monetary theories are considered as well as the volume of money and credit, capital formation, prices, interest rates, balance of payments, and exchange rates. (Prerequisite: BUS 751.)

**BUS 743 Public Finance**

Economic and financial effects of public revenue generation via various types of taxes and user charges. Economic tax, sales and use tax, property tax concepts of state and local governments with emphasis on multi-jurisdiction sites of corporations. Interrelationship of various federal, state and local taxes. (Prerequisites: BUS 530 and BUS 531.)

**BUS 744 Investment Banking**

The course covers negotiated, competitive, and municipal underwriting, syndication, financial packaging, institutional sales, block positioning, international operations, and long range planning. Investment policies, analyzing securities, and constructing portfolio strategies for individuals and institutions are considered. (Prerequisite: BUS 751.)

**BUS 745 Corporate Mergers, Bankruptcies & Reorganizations**

Mergers valuation, as well as evaluating alternative financing techniques. Case studies of various tender offers, leading corporate "raiders," investment bankers and antitrust implications are reviewed. Topics include: the effect of bankruptcy on total share valuation; investment strategies relevant to bankrupt companies; securities; the bankruptcy-reorganization process; the role of mergers in the bankruptcy process; and the implications of bankruptcy analysis. (Prerequisite: BUS 530.)

**BUS 746 Speculative Markets and Investment Strategies**

Topics include market structure; uses and price effects of hedging, speculation and arbitrage; the relationship between these markets and the underlying cash markets; valuation of other contingent claims; and trading strategies. Also covered are: (1) the organization and operation of dealer and auction markets, (2) competition between futures exchanges in the innovation of new contracts, and (3) margin requirements on stocks and futures. (Prerequisites: BUS 530 and BUS 531.)

**BUS 747 Working Capital Management**

Cash forecasting methods, collection and disbursement systems, liquidity management, money market operations, and international cash management. The management of current assets: cash, inventories, and accounts receivable. (Prerequisite: BUS 751.)

**BUS 750 Marketing Management**

Provides a comprehensive overview of market analysis for new and ongoing products and services. Competition, innovation and the integrated organization of marketing and sales are covered. A computer marketing simulation is utilized.

**BUS 751 Financial Management**  
The broad perspective of Financial Management is presented, including acquisition of capital and debt, long range and annual budgeting, budget management, cash flow management, short-term debt financing and interfacing with operation functions. (Prerequisites: BUS 530 and BUS 531 or their equivalents.)

**BUS 770 Managerial Accounting**

An analysis of accounting information for the purpose of planning, control, and decision-making. Emphasis is placed upon concepts of financial statement analysis, funds flow statements, cost analysis, budgeting, and control techniques. (Prerequisite: BUS 530 or equivalent.)

**BUS 771 International Business Law**

Covers the most important topics in international business law, including foreign corporate laws, and how they affect foreign operations, legal aspects of distributorship agreements, enforcement of agreements to arbitrate, the role of banking in international markets, and changes in taxes, licensing regulations, and antitrust laws, as well as an antiboycott and antidumping regulations.

**BUS 772 International Finance and Banking**

An overview of the international financial system from the viewpoint of the corporate executive. Balance of payments, foreign exchange, the financing and control of trade and multinational enterprises, cash flows, international financial and banking operations and institutions, capital budgeting and foreign investments, Eurocurrency, and international bond and capital markets are covered. (Prerequisites: BUS 530 and 531 or equivalent.)

**BUS 774 Issues and Applications in Import/Export**

An exploration of significant contemporary issues in import and export. Topics include as determination of market demand, locating export markets, promotion, financing procedures, and laws for exports. Trade zones, dealing with banks, and techniques to reduce risk.

**BUS 775 Seminar in International Business**

Contemporary problems, issues, and opportunities in international business explored from both conceptual and practical viewpoints. Case studies used extensively to develop abilities to diagnose and develop solutions to management situations facing the multinational executive. (Prerequisites: minimum of six credits of graduate international business courses and BUS 704.)

**BUS 776 International Trade**

A brief overview of the concepts and theories of international trade and payments followed by an in-depth review of international development policies international investments, particularly by multinational firms, and the study of international trade through the examination of major commodities. (Prerequisite: BUS 531 or equivalent.)

**BUS 789 Graduate Project**

Designed for students who would benefit from directed independent study in the opinion of the Program Coordinator. This course permits flexibility in pursuing specialized objectives on an intensive basis. Registration requires the permission of the Program Coordinator and the Director of Graduate and Continuing Education.

**BUS 792 Business Internship I**

The supervised internship in business provides a practical learning mode for the graduate student to acquire skills, practice, and knowledge in the business world. Internship requires the advanced approval of the Program Coordinator.

**MAN 510 Management Ethics**

Addreses the issue of ethical conduct in public and private firms toward their employees, their customers, society, and government. The issue of social responsibilities is explored.

**MAN 700 Organizational Behavior**

A micro perspective on organizations with cultural and organizational behaviors examined within the context of motivation, leadership, communications, interpersonal relations, group dynamics, and organisational development. Students analyze their management style using commercially available surveys and questionnaires.

**MAN 701 Organization Design and Theory**  
A macro view of organization design and structure. Emphasis on current research in this area. Management and organization theory are reviewed and utilized in case study analysis.

**MAN 703 Human Resource Management**

A survey course of human resource (personnel) management that includes recruitment, selection, job placement, performance appraisal, training and development, wage and salary administration, management-labor relations, and employee health. Emphasis is on current practices and governmental agencies that impact human resource management.

**MAN 712 Labor-Management Relations**

The relationship between employee/employer systems of administration/management, and the delivery of cost-effective goods and services to the public. Beginning with a review of the historical, legal, and structural frameworks that regulate and influence the course of employee/employer relationships, the instructional emphasis then moves to the negotiation and administration of labor agreements. (Prerequisite: MAN 703.)

**MAN 727 Organizational Development**

Organizational Development (OD) is a planned approach to organizational change, which occurs through the introduction of philosophies, strategies, and techniques of the OD practitioner. In addition, ethical issues and the future of organizational development are covered. (Prerequisite: MAN 703.)

**MAN 767 Seminar: Issues in Management**

An interdisciplinary approach to various important topics in management. (Prerequisite: Permission of Instructor.)

**MHM 680 Medical Care Organization**

Identifies the commonalities of managing health care organizations, while at the same time stresses the differences among the various types of organizations. The hospital, the mental health center, the long-term care facility, and the community clinic are among the organizations compared.

**MHM 682 Legal Aspects of Health Administration**

Addresses the responsibilities and legal obligations of the manager of a health care facility. Analysis of problems that arise concerning law and public policy. Explanation of legally sensitive issues and decisions, using the case study approach.

**MHM 684 Health Care Budgeting and Financial Management**

An overview of health care administration, emphasising budget development and monitoring, cost accounting for services, financial statement analysis, and budgeting for transition to self-sufficiency.

**MHM 692 Hospital Administration**

The key issues in the management and administration of comprehensive hospital facilities. The administrator's relationship to the medical and nursing professions.

**MHM 694 Seminar in Health Care Administration**

An opportunity to explore, discuss, and synthesize current health care issues within the framework of contemporary theory and practice. This course is normally taken toward the end of the student's program of graduate study.

**MAN 789 Graduate Project**

Designed for students who would benefit from directed independent study in the opinion of the Program Coordinator. This course permits flexibility in pursuing specialized objectives on an intensive basis. Registration requires the permission of the Program Coordinator and the Director of Graduate and Continuing Education.

**MAN 792 Business Internship I**

The supervised internship in business provides a practical learning mode for the graduate student

to acquire skills, practice, and knowledge in the business world. Internship requires the advanced approval of the Program Coordinator.

**MAN 793 Graduate Project**

Designed for students who would benefit from directed independent study. In the opinion of the Program Coordinator. This course permits flexibility in pursuing specialized objectives on an intensive basis. Registration requires the permission of the Program Coordinator and the Director of Graduate and Continuing Education.

07/12/94

CAT.YEAR: 1987

S T H J M A S U N I V E R S I T Y

ACADEMIC EVALUATION AS OF 07/12/94

FOR Therese M. Hammes (0214583).

DEGREE PROGRAM: MBA/INT-BUS.2

MBA-INTERNATIONAL BUSINESS (BUS 532 WAIVED)

PAGE 1

OF 1

EFF. YEAR: 1987

CLASS AL Maj-MBA	Spec-IB Adv-TAPIA, MR. DANIEL	I 31 International Business Specialization (18 credits)
LOC-GR	APP-Stat - AD	A) BUS 671 (INTERNATIONAL ECONOMICS) B) BUS 672 (MULTINATIONAL MARKETING CONCEPTS/STRATEGIES) C) BUS 775 (SEMINAR IN INTERNATIONAL BUSINESS) D) THREE COURSES FROM THE FOLLOWING: BUS 771 (INTERNATIONAL BUSINESS LAW) BUS 772 (INTERNATIONAL FINANCE & BANKING) BUS 774 (ISSUES & APPLICATIONS IN IMPORT/EXPORT)
Hold Flags --	SAT-V = SAT-B = ACT-Cmp = TOEFL =	BUS 776 (INTERNATIONAL TRADE) BUS 789 (GRADUATE PROJECT) BUS 792 (BUSINESS INTERSHIP)
SAT-V =	CLAST, TSWE and any other miscellaneous test scores: Test_Test_Test_Test_Test_Test_Test	
ACADEMIC EVALUATION		
All Requirements have been met: YES NO I		courses taken ..... BUS 671 B+ 3.00 92/53 BUS 672 A 3.00 91/PL BUS 775 A- 3.00 92/PL BUS 776 A 3.00 90/PL BUS 776 B+ 3.00 91/SP
ACTIVITY INAPPLICABLE TO THE DEGREE		
		BUS 532 B 0.00 9/SP : RAN
		766 A 3.00 91/R2
Note: B6 = B+ C# = C+ D# = D+		
300 and 400 level courses should normally be taken by undergraduate students with JUNIOR or SENIOR level standing.		
C 1) Preparatory Courses (6 credits)		
		MAN 510 (MANAGEMENT ETHICS) BUS 670 (ADVANCED OPERATIONS MANAGEMENT) BUS 673 (MANAGEMENT WRITING & REPORTING) MAN 709 (ORGANIZATIONAL BEHAVIOR) BUS 704 (POLICY, PLANNING & STRATEGY SYSTEMS) FIN/BUS 705 (ADVANCED INFORMATION SYSTEMS) ACC/BUS 770 (MANAGERIAL ACCOUNTING)
		MAN 510 A 3.00 91/H1 : BUS 670 B 3.00 92/53 BUS 673 A 3.00 90/PL MAN 700 A- 3.00 91/PL BUS 704 B# 3.00 92/SP BUS 751 B 3.00 91/SP BUS 770 B 3.00 92/SP

Comments: N = not started, I = in progress, C = completed  
W = waived, P = Complete Pending current term.  
\*\*\* = GPA/CREDITS not achieved, \*R\* = registered course

021458J

07/12/94

1

226-84-5745

Hammes, Therese Marie  
460 Kanda Rd  
Coral Gables, FL 33146

ST. THOMAS UNIVERSITY  
Office of the Registrar  
16400 N.W. 32nd Ave.  
Miami, FL 33054

BUS 530 01	ESSENTIALS OF ACCOUNTING	90FL B	3.0	3.0	3.0	9.0
BUS 673 02	MANAGEMENT WRITING & REPORTIN	90FL A	3.0	3.0	3.0	12.0
BUS 771 K1	INTERNATIONAL BUSINESS LAW	90FL A	3.0	3.0	3.0	12.0
	SEMESTER TOTALS:		9.0	9.0	9.0	33.0
	CUMULATIVE TOTALS:		9.0	9.0	9.0	33.0
<hr/>						
MAN 510 01	MANAGEMENT ETHICS	91M1 A	3.0	3.0	3.0	12.0
	SEMESTER TOTALS:		3.0	3.0	3.0	12.0
	CUMULATIVE TOTALS:		12.0	12.0	12.0	45.0
<hr/>						
BUS 532 01	STATISTICAL ANALYSIS FOR MGMT	91SP W	0.0	0.0	0.0	0.0
BUS 751 K1	FINANCIAL MANAGEMENT	91SP B	3.0	3.0	3.0	9.0
BUS 776 K1	INTERNATIONAL TRADE	91SP B+	3.0	3.0	3.0	10.5
	SEMESTER TOTALS:		6.0	6.0	6.0	19.5
	CUMULATIVE TOTALS:		18.0	18.0	18.0	64.5
<hr/>						
MAN 768 01	SEMINAR II: MGMT ISSUES	91M2 A	3.0	3.0	3.0	12.0
	SEMESTER TOTALS:		3.0	3.0	3.0	12.0
	CUMULATIVE TOTALS:		21.0	21.0	21.0	76.5
<hr/>						
MAN 700 01	ORGANIZATIONAL BEHAVIOR	91FL A-	3.0	3.0	3.0	11.0
BUS 672 01	MULTINTNL MRKT CONCEPTS & PER	91FL A	3.0	3.0	3.0	12.0
	SEMESTER TOTALS:		6.0	6.0	6.0	23.0
	CUMULATIVE TOTALS:		27.0	27.0	27.0	99.5
<hr/>						
BUS 704 01	POLICY PLAN&STRATEGY SYSTEMS	92SP B+	3.0	3.0	3.0	10.0
BUS 770 01	MANAGERIAL ACCOUNTING	92SP B	3.0	3.0	3.0	9.0
	SEMESTER TOTALS:		6.0	6.0	6.0	19.0
	CUMULATIVE TOTALS:		33.0	33.0	33.0	118.5
<hr/>						
BUS 670 01	ADVANCED OPERATIONS MANAGEMEN	92SP B	3.0	3.0	3.0	9.0
BUS 671 01	ECONOMICS-INT'L PERSPECTIVE	92SP B+	3.0	3.0	3.0	10.0
BUS 531 02	ESSENTIALS OF ECONOMICS	92SP C-	3.0	3.0	3.0	9.0
	SEMESTER TOTALS:		9.0	9.0	9.0	24.0
	CUMULATIVE TOTALS:		42.0	42.0	42.0	142.5
<hr/>						
BUS 775 01	SEMINAR IN INTERNATIONAL BUS	92FL A-	3.0	3.0	3.0	11.0
	SEMESTER TOTALS:		3.0	3.0	3.0	11.0
	CUMULATIVE TOTALS:		45.0	45.0	45.0	153.5
<hr/>						
THERESE MARIE HAMMES 92FL 0.0						
DEGREE EARNED 12/92 92FL 0.0						
MBA MASTER OF BUSINESS ADMINI 92FL 0.0						
	SEMESTER TOTALS:		0.0	0.0	0.0	0.000
	CUMULATIVE TOTALS:		45.0	45.0	45.0	153.5
<hr/>						
CUMULATIVE TOTALS: 45.0 45.0 45.0 153.5 3.411						
**** END OF TRANSCRIPT ****						

UNOFFICIAL TRANSCRIPT

# Catalyst

Miami-Dade Community College  
 South Campus

## SIFE takes top award in business

Terry Hammes  
 Guest Writer

A team of students representing Miami-Dade Community College's South Campus were honored with the "Rookie of the Year" Award at the largest Students in Free Enterprise competition ever held. Over fifty universities competed in the regional competition which competitors from around the U.S. gathered to evaluate solutions to economic issues affecting their hometowns.

The Miami-Dade delegation, led by Suzanne Joseph, president of SIFE; Mauricio Mesa, treasurer, and Terry Hammes, faculty advisor, represented a group of about thirty M.D.C. students who developed a program to help small- to medium-sized businesses do work with Cuba when the trade embargo is lifted.

They produced a 60-page research book, titled *In Anticipation of a Free Cuba, How to Business with Cuba*, authored by SIFE member Terry Hammes, established the Cuban-American Chamber of Commerce as a not-for-profit corporation as a vehicle to promote commerce and goodwill,

and obtained in kind or reduced rate contributions in the areas of legal accounting, printing and travel expenses to Chicago.

Through professional contacts and preparation for the judges, the preparation of a "pitch book" showing key supporting documentation of the program including newspaper articles, and the delivery of a joint 20 minute oral presentation, which was followed by questions and answers from the panel of eight judges.

*In Anticipation of a Free Cuba* outlines international trade, legal, political, marketing, demographic, economic and cultural considerations of present day and a free Cuba, and was originally prepared as research toward the author's M.B.A. degree in international business at St. Thomas University simultaneously to becoming part of the M-DCC-SIFE project.

\*The Catalyst congratulates this year's graduates and wishes them luck in their future studies and career!\*

1101 S.W. 104 Street  
 Miami, FL 33176  
 (305) 237-2323

April 27, 1992

Vol. 26 No. 7



The group's Chicago presentation included a slide presentation (shot by Suzanne Joseph), the distribution of the book, the preparation of an annual report for the judges, the preparation of a "pitch book" showing key supporting documentation of the program including newspaper articles, and the delivery of a joint 20 minute oral presentation, which was followed by questions and answers from the panel of eight judges. The group's Chicago presentation included a slide presentation (shot by Suzanne Joseph), the distribution of the book, the preparation of an annual report for the judges, the preparation of a "pitch book" showing key supporting documentation of the program including newspaper articles, and the delivery of a joint 20 minute oral presentation, which was followed by questions and answers from the panel of eight judges.

*In Anticipation of a Free Cuba* outlines international trade, legal, political, marketing, demographic, economic and cultural considerations of present day and a free Cuba, and was originally prepared as research toward the author's M.B.A. degree in international business at St. Thomas University simultaneously to becoming part of the M-DCC-SIFE project.

The SIFE was founded and spon-

## "Successfully Marketing Properties Using Power Brochures And Ads"

Wednesday, April 4th, 1990 - 7 to 10 p.m.

REALTOR® Allan White, Commercial Real Estate specialist in marketing commercial properties for lease and sale! Terry Hammes, Licensed Real Estate Broker and President of Hammes Advertising Ms. Hammes has an extensive background marketing real estate from the perspective of an advertising professional and a licensee.

Developing brochures and ads that sell is essential to your success . . . yet how many of us drop the ball? You don't have to be a Madison Avenue genius to produce effective advertisements and brochures. Maybe there's more you can do to market your listing! Remember, even your Multiple Listing can be made better! Investment: \$7.50 for paid-in-advance members; \$10 for others. Seminar River House, 3900 N.W. 21st Street, 7 to 10 p.m., 6:30 check-in.

Seminar Chairman REALTOR®-Associate Francisco "Paco" Guardia, Valle Realty and Management, Co.

Series Chairman REALTOR®-Associate J.R. Steinbauer, Steinbauer, Steinbauer Associates

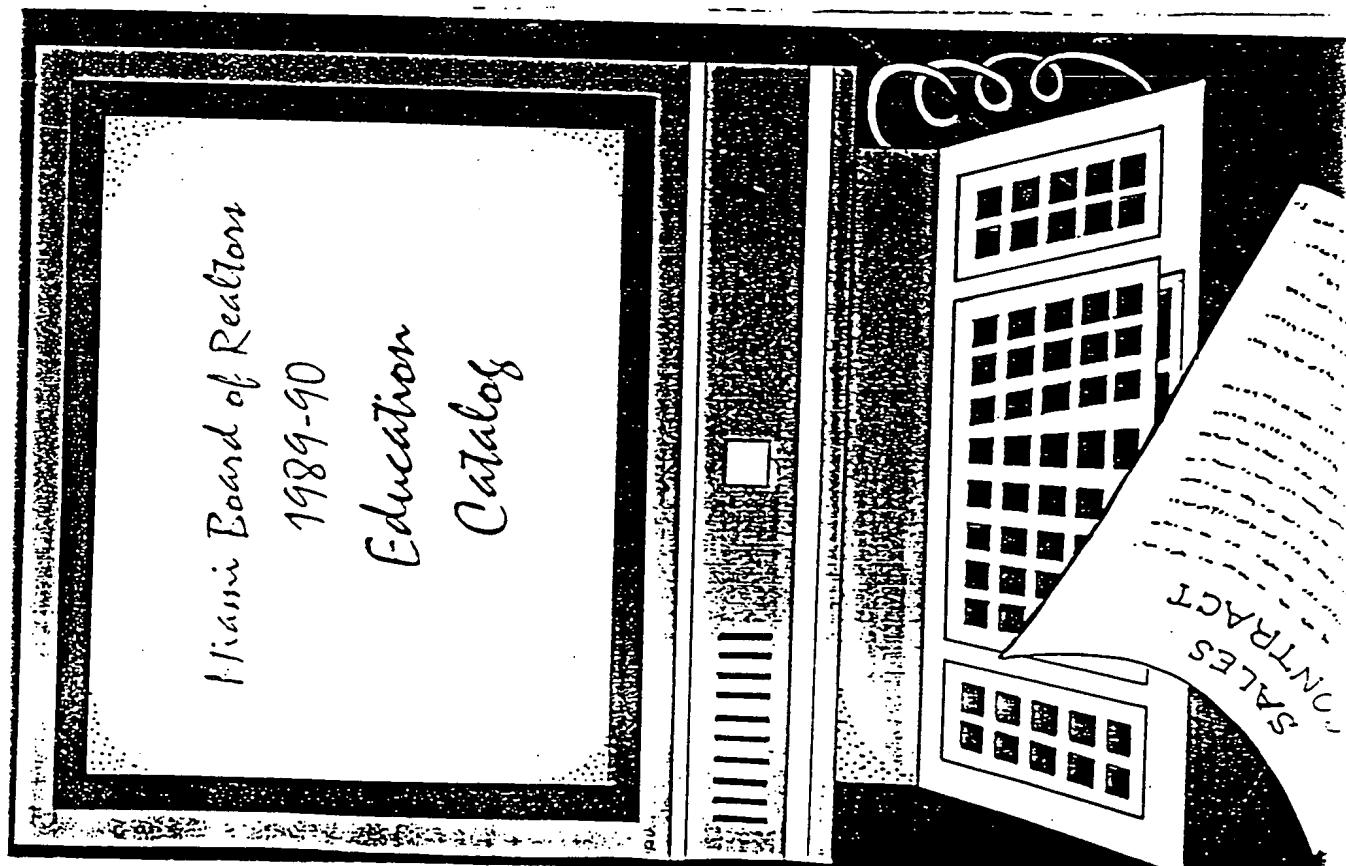
## The Law Of Landlord/Tenant In Commercial Real Estate

Thursday, April 26th, 1990 - 7 to 10 p.m.

Malcolm B. Wiseheart, Jr., Esq., attorney at law and REALTOR® Associate, London Real Estate Company

One of Florida's most knowledgeable experts will give you the latest legal aspects of the day-to-day operation of commercial rental properties including office buildings, stores, and warehouses. Up to the minute information about Three Day Notices for non-payment of rent and actions for removal of tenant; unlawful detainer, actions for removal of tenant for reasons other than non-payment of rent; holdover tenancies and the right to demand double rent; dealing with abandoned personal property; collection of rent by single monetary actions, distress and foreclosure of landlord's lien; Extensive workbook included! Investment: \$15 for paid-in-advance members, \$20 for others. Sheraton River House, 3900 N.W. 21st Street, 7 to 10 p.m., 6:30 check-in.

Seminar and Series Chairman REALTOR®-Associate  
Ed Minaya, The Keyes Company



## SUCCESSFULLY MARKETING PROPERTY FEATURED THEME OF UPCOMING REALTOR'S SEMINAR

Using "power ads and brochures" and other dynamic mass-media techniques to merchandise real property will be the theme of a three-hour seminar hosted by the Miami Board of Realtors on Wednesday, April 4th, from 7:00 to 10:00 p.m. at the Sheraton River House, 3900 N.W. 21st Street in Miami.

The program will include a hands-on workshop format, with participants developing both an ad and a marketing flier. It will be open to members and non-members, at \$7.50 for paid-in-advance members and \$10.00 for all others.

Speakers scheduled for the program include Allan White, a Realtor and principal in the Commercial Realty Alliance, Inc., a Coral Gables-based firm specializing in commercial and industrial property, and Terry Hammes, a licensed real estate

broker, president of Hammes Advertising, Public Relations & Marketing in Coral Gables and president of Hammes Real Management Corp., a property management firm at the same location.

Included will be a review of the various marketing and communication techniques available, and the most effective way to utilize each of the mass-media channels of communications.

Allan White has more than 10 years of practical experience in the sale and leasing of income properties, particularly office buildings, and the sale of commercial development sites. He holds a BA from the University of Florida and is working towards a Masters in Real Estate.

White has participated in literally hundreds of commercial leases and numerous sales totalling nearly \$140 million since 1980.

Terry Hammes has been active in the advertising, public relations and marketing field since 1978.

Hammes Advertising has extensive experience in marketing and promotion for real estate accounts. Her agency swept the Florida Awards for Marketing Excellence in the commercial real estate marketing category in 1989, earning five FAME awards — for the Best Print Ad, Best Print Ad Campaign, Best Collateral, Best Corporate Campaign and Best Special Event. Her firm has been involved in marketing more than \$115 million of real estate in the past ten years.

Reservations for this hands-on marketing seminar may be made by calling the Miami Board of Realtors at 854-2050.



Allan White



Terry Hammes

### BOARD OF TRUSTEES MEMBER SPOTLIGHT

Terry Hammes is a hard-working member of our Board of Trustees, having joined the Board in October of 1990. President of Hammes Advertising, Inc. and Hammes Realty Management Corp., Terry has vast experience in real estate and corporate marketing. Terry also serves as President of Pro-Motion Media, Inc., a medical and financial marketing company, and is Bank Director for First Florida SFB. This dynamic woman has served on the Leadership Miami Executive Committee as Public Relations Chairperson in 1990-1992. In addition, she was recent-



ly elected to the Board of Directors of Crimestoppers. Terry has a fine arts background, including a Bachelor of Fine Arts and juried show experience. A recent honor was winning the "Up and Comer" award for 1991 for advertising, a competition sponsored by Price Waterhouse and South Florida Magazine. Terry is working on an MBA degree in international business at St. Thomas

University as well. Author of "In Anticipation of a Free Cuba, How To Do Business with Cuba," she won one of the top awards for students in a national competition. The award, "Rookie of the Year," was won in competition against students from 50 other universities.

Terry has enthusiasm and great ideas for MYM. "I would like to help organize a children's art show for the museum and I think I could help in the fundraising marketing for the new building," Terry has said. The Museum is proud and pleased to have such a community leader on its Board of Trustees.

### Board of Trustees Update

The Museum welcomes the following new members to the Board of Trustees:

#### ANN POPE

Ann is the Manager of Sales and Marketing of Kendall's Town and Country Center.

#### JOAN MAHLER

One of the founders of Mt. Sinai Hospital, Joan has also been very active in many community organizations, including Jewish Federation.

#### SCOTT LEEDS

Scott has been an attorney since 1983 and is also a licensed pharmacist.

#### NEAL ALPER

Neal, a jeweler, is Chairman of the Dade County Citizens Action Council and is also Chairman of the Public Education Committee of the Kendall Federation.

#### Honor Someone Special to You!

Special occasions deserve special notice! Think of making a donation to MYM for a variety of occasions....

birthdays, anniversaries, graduations, get well wishes, in honor or in memory of someone important to you or your family. With a minimum \$10 donation, the Museum will send a card to the recipient. The donor's name will be printed in each addition of our newsletter. Just send a tax deductible check and all pertinent information to MYM and we'll do the rest!

#### Recent Donations:

In memory of Stanley Salzman:  
Mr. & Mrs. Jerry Resnick  
Beverly Lundy  
Linda Rothman  
Loretta Sellinger  
Dr. & Mrs. Jim Steig

In honor of Mitchell Wainberg's Bar Mitzvah:  
Dr. & Mrs. Jim Steig

#### MYM THANKS....

Mr. & Mrs. Ed Gadinsky for airline tickets to museum conference

To Marshall Glasser for his donation of two computers

To Elizabeth Parnes of Xerox Corp. for printing of our Annual Appeal brochure.

Dr. Micro Programs, Inc. for invaluable assistance in computer education and typesetting for many of MYM's recent publications, including this newsletter

Our elegant fundraiser, Lovers' Leap, raised \$11,000 for MYM. Our thanks go to our dynamic co-chairs, Marina Angleton and Terri Katz for an outstanding job!

Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343  
1479

An Interactive Experience: Software Strategies  
for Database Linkage and Business Development.  
Designed for The United States Information Agency's  
Council of International Visitors Programs



## 1998 Marketing On the Net



HAMMES ADVERTISING, INC.  
ADVERTISING / MARKETING / PUBLIC RELATIONS

896 S. Dixie Highway, Coral Gables, FL 33146 • Tel.: 305-667-1199 • Fax: 305-667-0440 • E-mail: Hammes.Ads@AOL.COM

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*Project Proposal*

**1998 Marketing On the Net**

*Interactive Strategies  
for Database Linkage and Business Development for  
The United States Information Agency  
and National Council of International Visitors*

*January 1, 1998  
A Five Year Program*

*Submitted to*  
**United States Information Agency**  
Office of International Visitors  
Ms. Leslie Wiley, Director  
Mr. James, Pollock, Deputy Director  
*and*  
**National Council of International Visitors**  
Ms. Sherry Mueller, Executive Director

*Submitted by*  
**Hammes Advertising Inc.**  
Ms. Terry Hammes, President and  
896 South Dixie Highway  
Coral Gables, FL 33146  
(305) 667-1199  
Ms. Sandra van der Es, Mainframe Specialist  
*Proprietary Technology by*  
**CD Guide Inc.**  
Mr. Carlos Josic, President  
Mr. Anthony Lester, Vice President



HAMMES ADVERTISING, Inc.

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HAMMES ADVERTISING BUILDING 896 SOUTH DIXIE HIGHWAY, CORAL GABLES, FL 33146-2604  
TEL.: 305-667-1199, FAX: 305-667-0440, E-MAIL: HAMMES.ADS@AOL.COM

**A PROPOSAL TO DESIGN AND IMPLEMENT  
A MULTI-REGIONAL PROJECT**

In the global economy, international trade, the United Nations, foreign policy, finance and the media are playing an ever increasing roles. In the rapidly evolving environment of the globalization of commerce and public policy, high technology, computers and internet applications have a greater place than before.

The United States Information Agency supports public policy under the Executive Branch through programs such as Radio Free Europe, Radio Marti, the Fulbright Fellowships and the International Visitors Programs. Working with US Embassies and Missions abroad, select mid-career foreign professionals are invited by the US Embassies and Host Countries to travel to the United States for several months under a series of multi-regional programs which address specific policy issues of importance to the United States.

The National Council for International Visitors is the state-side organization comprised of 103 US cities which support the USIA programming efforts on a community-based level. Core Programming Agencies work with the National Council's executive offices and the appropriate cities around the country to arrange for travel, professional engagements and exposure to the American experience.

The opportunity to leverage these affiliations and to support the programs more fully due to a fiscal reduction for funding from Congress is opportune. Through the development of standardized procedures, applied to software which is unified in one package, simple for the novice computer user to operate, and formatted in unified manner which increases the ability to document results through ease of operation will assist USIA's objectives of quantifying the results of its programs. Supported by a new marketing strategy which leverages the benefits of access to the global marketplace and linkage with its resultant opportunities, the community-based business development program will increase both membership and funding resources through provable accountability.

Hammes Advertising Inc. endeavors to become the core programming agency for USIA's community-based, computer and internet technology applications to support the structure, functions and linkage of the policy, programming, missions and accountability through our marketing strategies supported by proprietary software and hardware configurations. In addition to expanding the knowledge of the participants, the program will facilitate the linkage of visitors with participants forged around the country, increase the membership in CIV's, increase the quality of programming content and provide an ongoing opportunity to continue the friendships and knowledge acquired from the International Visitor Programs.

The information, strategies and applications contained herein are proprietary and confidential. This document is not to be distributed to anyone outside the United States Information Agency without the expressed written consent of the Author(s).  
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## I. Business Plan Objectives

The following Business Plan and Development Strategies are designed to grow community-based Councils for International Visitors in order to:

- A. Increase Membership
- B. Generate corporate participation.
- C. Leverage higher demographic entities into the International Visitor Program.
- D. Facilitate and standardize reporting by developing a set of simple to use applications.
- E. Document the generation of economic activity in an easier, more detailed, standardized way to justify Congressional expenditures.
- F. Develop linkages which furthers USIA programs and US policy through the implementation of an on-going program based on computer supported and internet technology.
- G. Develop a Proprietary Software program.
- H. Provide Hardware which bundles the necessary equipment and programs to:
  - 1. Be portable (laptop) in order to "sell" the program on the site of targeted prospective members or sponsors.
  - 2. Provide internet network connections to the National Council and other web sites (specific to individual city locations).
  - 3. Hotlinks to USIA, its Travel Office and Core Programming agencies.
  - 4. Provide the formula or template to permit local site specific choices for customization.
  - 5. Create a single Web page per each US CIV city as a template to link each site, whether or not city sites exist yet or not. If in place this page

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become the tie in; if not in place yet, this page becomes the bare bones of an initial Web site for that city. Assures standardization .

6. Video Conferencing to allow complete visual linkage with entire CIV network. With the use of the internet as the connection, this eliminates long distance calling charges via the usual telephone analog means. We will be developing the national server network over time, and have some regional providers in place to begin. This "whistle and bells" add on is actual very inexpensive. With active use, it could have a payback period in a couple of months.
7. Hosting on the Internet. We will host sites as requested, with the intention of developing a national network of high speed connections. Preliminary research has revealed new technology that is cable TV based which is far faster, allows the bypassing of commercial services like AOL and is less expensive to maintain.
8. Digital Camera: Cross platform (IBM and Apple) compatibility. Saves money in film processing and helps with documentation and public relations efforts. Will be used by local CIV's to customize their own Web site, or to provide us the material under separate contract to do it for them.
9. Scanner. To process photographs and printed documents. Appropriate OCR and Photo processing software will be bundled.
10. Color printer. To output in house newsletters, photos for IV participants, and quality color documents. The bubble jets are very inexpensive now, with some models being quite compact in design.
11. A leather carrying case on wheels to hold all of the above with security cable to prevent loss or theft.
12. The CD ROM program. All programs and software manuals will be on the CD, along with appropriate instructions. We will create the CD master and write the data onto recordable CD's for distribution.



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13. Licenses to supporting software. Proper licensing will be secured and its costs will be structured into the expenses as a line item per program. We will use the most simple modules as components.

14. Create Cross Platform Compatibility: Write an Apple version or provide software which converts from Windows 95 to the MAC O/S operating systems. We will be testing a new program which not only converts to Apple all Windows programs, but causes a very desirable acceleration in the processing speed of the MAC operating system. Called Virtual PC, at a cost of approximately \$150, if it tests well, we will bundle this program in addition to writing a complete new version of the proprietary program for Apple computers.

15. Write an interactive manual which explains how and why this program has been implemented. The accompanying Power Point presentation is the beginning of the work needed to prepare the presentation. A printed version will also be made and packaged with the program. It will contain materials prepared for different levels of use to illustrate accounting and reporting capabilities, web linkages and networking capabilities. Models for PR and templates to plug in the local version of civic, business and professional organizations will be provided in the demo and final manual, on-line and in print.

Eleven months in development as of this writing, it has become clear that in order for the CIV's to use the software, we need to provide the tools for its ease of use. With the general non-computer fluency of the grass roots members of CIV's nationally, combined for the need for standardization, to be effective the program would have to be provided to the end-user in a unified package in order for the program to become a success.

## II. Budget:

A. 1997: R&D: Create strategy, write Business Plan, design Power Point Presentation and develop Budgets, design logos, brochures, design marketing for Miami Council, create brochure model, templates, formats, systems configurations, technical requirements of software, hardware, network connectivity, internet linkage, form supporting corporate alliances.



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Fee to date, Retainer:	\$11,000.00 (\$1000 per month)	Total
Expenses	<u>2,500.00</u>	
Sub-total:	\$13,500.00	\$13,500

B. Internet

Registration for CIV sites	Qty.	Rate	Total
Intermic Registration	103	\$150	\$15,450
Single page per city			
Set up (Hosting)	103	\$75	\$7,725

III. Prototypes: The Prototype can be ready to screen as a prototype by April for screening this years' Convention. At that juncture we would ask approximately 5 to 7 CIV's to be BETA testers to assist in the final stage prior to distribution.

A. Software Development	Pg. Qty.	Rate	Total
CD Prototype Production	20	\$150	\$3,000
Web Site Development	10	\$350	\$3,500
<sup>1</sup> Art design (Maps, logos, etc.)	1	\$4500	\$4,500
Web database prototype	1	\$2,500	\$2,500
<sup>2</sup> Spanish Version	1	\$2,500	\$2,500
<sup>3</sup> Apple version	1	\$3,500	<u>\$3,500</u>
<sup>4</sup> Sub-total:			\$19,500

<sup>1</sup>Art Design components Map locators for regions, rotating globe for NCIV logo, add more country maps, create "cue" ball look to globe, add animation and "sparkle" to templates, develop uniform look for template for hotlinks to 103 cities, and as requested.

<sup>2</sup>Spanish is the native language of Mr. Carlos Josic, president, CD Guide, Inc.. His Venezuelan software development company specialized in banking, finance and inventory control software. The search engine developed by Mr. Josic is very quick. In addition, he has structured the key word and topic seek menus to respond even to misspellings, much like a spell check program (due to his own experiences). This feature makes it particularly to the International Visitors use as fellow non-English as a native language speakers.

<sup>3</sup>Cross platform (IBM-Apple) compatibility is essential. Even though 97% of the computers in the US are Pentium based IBM compatible, of the remaining 3%, virtually 100% of Web Designers, on-line and regular print, magazine, service providers, advertising agencies, and publishers use the apple system. With Microsoft's recent investment in Apple due to antitrust legal problems with the US Justice Department, it is

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HAMMES ADVERTISING INC.

ADVERTISING / MARKETING / PUBLIC RELATIONS

HAMMES ADVERTISING BUILDING 896 SOUTH DIXIE HIGHWAY, CORAL GABLES, FL 33146-2604  
TEL.: 305-667-1199, FAX: 305-667-0440, E-MAIL: HAMMES.ADS@AOL.COM

only a matter of time before cross platform compatibility is the industry standard. Since we are able to do this without a lot of expense, and this project is reflective of the need between our two companies, we have specified this as a design requirement so to not eliminate any CIV member from access to this program.

<sup>4</sup>This anticipates designing the Miami city prototype and the National Council's Web site as part of our prototype.

- CD Prototype design components:
- 20 Master Pages with up to 20 provided images
- Logo: The NCIV globe logo will rotate; more maps will be added
- Templates: Unified Graphics approach
- Maps: Five continents, a map locator for each CIV city home page for a consistent appearance.
- 103 city maps (simplified and standardized for all cities. Data will be provided by CIV's to assure accuracy )
- Will use provided CIV logos from each city
- Up to 20 Hotlinks on the prototype version.
- Up to nine images or data fields per page
- CD Web Site prototype (NCIV) will have 10 pages
- Spanish language model
- Apple version model
- International Visitor Profile

Data Fields:

- Top Secret, high Security clearance data
- Biographies
- Program in the US
- Exit Interviews
- Feedback tiered to receivers
- Accounting & Database Management Modules
  - Accounting
  - Grants
  - Formulas for RFP's
  - COLA index module

IV. Equipment, Manuals (prices are approximate for minimum configuration.)  
We will negotiate a volume price based on 103 cities at that appropriate time.  
Actual purchase quantities tiered with timeline. Budget allocations will reflect one prototype now, 5-7 units at the convention when BETA tester selected, the rest



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when delivery is scheduled one year from April. The 1999 Convention would be an ideal opportunity to have a massive training program on site. In 16 months the below configuration will appear to be inadequate, ad prices will have dropped. We will take the line item approved and contract for as many features as then currently available. By contract, we are deemed the exclusive agency for procurement for as long as our program is in use. As such, we will investigate leasing contracts to allow upgrades as part of the program analysis.

1997 Prices and Requirements

Laptop, bundled with Windows 95	\$2600
1.2 gig harddrive	
10X CD-ROM	
PCI slot or PC card adapter	
48 RAM	
Active matrix color display, minimum 12" screen	
Pentium 160 mmx - multimedia (sound card)	
Video conferencing camera	\$200
Digital camera (cross platform compatible)	\$600
Carrying case (on wheels)	\$ 80
Security cable	\$ 60
Scanner: OCR and Photo	\$300
Bubble Jet color printer, compact	\$250
56 K Modem	\$160
Software	\$250
Sub-total:	\$4,490

V. Software Manual and Interactive demonstration: \$5,000

Licensing of the master bundled software will be part of the Master contract. Licensing for the proprietary program upon completion will be \$250 per licensee, with multiple user licenses to be available, roughly the same as Microsoft Office. We have the name brands for industry leaders. Hardware support will be provided under the warranties provided and supported by the manufacturers. We will attempt to obtain an extended warranty as part of the Contract for the volume hardware purchases. The Warranty offer and results of leasing inquiries will help determine final configuration on all hardware.

Licensing figures depend on final specifications

TBD



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V. Contract to come under separate cover. Five year spread sheet with line item cost factors (as opposed to prototype fix fee) will be developed. The prices anticipate all photographic references and data to be provided. A price per hour to gather can be agreed upon if we need to create or spend time on collecting that material for input.

VI. Appendix  
Resumes  
Attachments

I will be leaving Atlanta later today after resting for the drive. If you can schedule it, perhaps we can meet on Saturday if possible. If there is a function which it would be appropriate to meet and discuss this informally first, I would like to attend. I sent this digitally so you and Dick Fitz (and Sherry Mueller, if you wish) can see it prior to my arrival. I will call in the afternoon from the road before 5pm. I'll be staying with my sister, Cathy Henderson in Springfield at 703-455-6265. For expediency, I will bring the CD Guide Demo and Appendix in person.

Sincerely,

Terry Hammes, MBA, President  
Hammes Advertising Inc.

Terry M. Hammes, M.B.A., Producer

Hammes Advertising Building  
896 South Dixie Highway  
Coral Gables, FL U.S.A.  
33146-2674  
Tel: 305-667-1199  
Fax: 305-667-0440  
E-Mail: Hammes Ads@AOL.COM

### PROFESSIONAL EXPERIENCE

#### *Hammes Advertising Inc., President, 1978-Present*

- Marketing Consultant with 19 years experience in strategic planning, advertising and competitive market development, who founded three new ventures beginning at the age of 23.
- Created, managed and marketed three businesses, showing substantial R.O.I. in each company. Specializing in advertising, marketing and public relations for high technology, business-to-business, consumer, corporate, real estate, financial, medical and retail companies.
- Print, television, radio, internet and multimedia, direct marketing, point of sale, in English and Spanish.

#### *First Florida Savings, FSB, External Bank Director/Bilingual Agency of Record 1990-1993:*

- Served as the only woman, non-Hispanic and youngest Board Member of \$93 million wholly owned US subsidiary of First Federal, FSB, San Juan, Puerto Rico, a \$1.8 billion thrift.

#### *Professional Television Productions Inc., 1990-1993:*

- Developed national marketing program for Dallas-based pre-produced television commercial company. Was granted the South Florida ADI for work. Established Pro-Motion Media, Inc. as the media placement firm to service South Florida franchise market for medical and retail industry.

#### *Eastern Federal Credit Union (Formerly Eastern Airlines Federal Credit Union), 1978-1982:*

- In House Ad Agency for 4th largest credit union in US. Assisted in national expansion from 8 to 23 branches in its greatest period of growth. Eastern won the highest marketing award for Credit Union marketing in 1979. Targeted marketing, direct mail stuffers, brochures, and trade shows to city markets nationally.

#### *United States Information Agency, Washington, DC, 1996-Present:*

- In development of a prototype for strategic business plan and supporting computer-based, internet/web site technology to establish linkage with the 103 US Council for International Visitors Groups cities with commerce, education and industry, to the International Visitors Program participants at USIA. Wrote business development component of plan to establish The World Affairs Council at Miami-Dade Community College, 1997-Present.

#### *Mobil Oil, 1995-Present:*

The 1995 and 1997 Regional Convention Catalogue — cited by Mobil Management, "thanks to Terry's suggestions and comments, Mobil was able to triple net advertising revenues over prior year's results," and, "was widely recognized by Mobil Management as the best ever produced." (in a correspondence dated February 2, 1996).



Terry M. Hammes, M.B.A., *Producer*

***Hammes Realty Management Corp., President, 1986-Present:***

- Florida Licensed Real Estate Brokers, 1985-Present
- Real Estate Institute at Florida International University: Established by FIU in 1997. Primary author of business plan and funding mechanisms identified which led to the establishment of The Real Estate Institute at FIU, an advanced program for real estate studies co-sponsored by The Greater Miami and the Beaches Realtor Association, 1992.
- Owner, designer, developer, manager of a 3300 sq. ft. 1986 Florida A.I.A award-winning prime Coral Gables income producing office building and corporate home.

**EDUCATION**

- 1990 - 1992     *St. Thomas University, Miami, FL.* - Master of Business Administration (MBA), 1992.  
 International Business specialization.
- 1972 - 1976     *University of Miami, Coral Gables, FL.*  
 Bachelor of Fine Art (BFA), *Cum Laude*, 1976.  
 Graphic Design and Photography  
 Alpha Lambda Delta & Orange Key Academic Honor Societies

**CIVIC**

***Miami Council for International Visitors, 1996-Present:***

(MCIV is the local hosting arm for The United States Information Agency's International Visitors Program state-side), Communications Director, Board of Directors 1996-1997; Delegate to National Council of International Visitors Convention, Washington, DC, 1997.

***Miami Youth Museum, 1990-Present:***

Trustee and Board of Directors: Created marketing collateral for new \$12 million facility designed by Archetectorica, 1993, 1994, 1995, on pro bono basis and secured corporate support of approximately \$200,000 for MYM from Miami Children's Hospital, a Hammes Advertising project client since 1979.

***Crimestoppers of Dade: 1990-Present:***

Board of Directors. Organized fund raiser Golf Tournament and arranged for donated PSA commercial production and air time on all local English and Spanish language television commercials. Wrote and produced TV PSA spots, 1996.

**AWARDS & CITATIONS**

***Florida Awards for Marketing Excellence (F.A.M.E. Awards)*** best print ad, collateral, special events, corporate campaign, and print campaign sponsored by *The Miami Herald* and Builders Association of South Florida.

***"Up & Comer" Award for Advertising*** sponsored by *South Florida Magazine* and Price Waterhouse, 1991.

***Juried Fine Art Show Exhibitions, Photography and Painting,*** 1995, 1981, 1976.

***Students in Free Enterprise Competition*** sponsored by Wal-Mart, Chicago, IL: MBA research titled "In Anticipation of a Free Cuba," and its regional implications for South Florida was awarded recognition against 50 competing universities, 1992.

***"Marquis Who's Who"* titles: *Who's Who in America*, Advertising, Finance & Industry and Women, Macmillan Directory Division, Wilmette, IL, beginning 1988.**

10040 W. Reflections Blvd. #101, Sunrise FL 33351

PH (954)749.2386  
Email:cj@worldpass.net

## Carlos Josic

<b>Objective</b>	providing solutions in what programming, graphic design and hardware refer, using all the necessary tools.		
<b>Experience</b>	1994-1997 <b>Software programming</b>	CD Guide, Inc. Programming Tools: Delphi & VB	Miami, FL
	<ul style="list-style-type: none"><li>• Design and development of interactive multimedia catalog with database software.</li><li>• Art design of CD's label and packing.</li><li>• Design and development of search engine and web connect software.</li><li>• Web site design and development using: Frontpage, Claris Homepage, Web 3d; Lumiere Corel Suite, Photoshop, Winword.</li></ul>		
	1993-1994 <b>Hardware-software Eng.</b>	Visual Alarm Verification Programming Tools: Delphi & C++	Miami, FL
	<ul style="list-style-type: none"><li>• Build and test computer based video transmitters.</li><li>• Software test, installation and configuration.</li><li>• Design and development of video surveillance software for the security industry.</li></ul>		
	1989-1993 <b>Software Engineer</b>	Homo Informaticus, Corp.	Caracas, Venezuela
	<ul style="list-style-type: none"><li>• Design, development and implementation of stock and automatic delivery of supplies for the bank industry.</li><li>• Design and development of computer systems: accounting, sales, budget, inventories-stock, point of sale, control of industrial processes, communications, video applications, computer graphics.</li><li>• Networks (Netware 3.12 and Windows NT) installation and configuration</li></ul>		
<b>Education</b>	1979-1986	Metropolitan University	Caracas, Venezuela
	<ul style="list-style-type: none"><li>• Systems Engineering.</li></ul>		
<b>Interests</b>	Read computers books, internet surfer, fishing, swimming, soccer, baseball, racquet ball.		
<b>References</b>	Available upon request.		

## SANDRA VAN DER ES

180 Spring Ridge Trace • Roswell, Georgia 30076 • Telephone: 770 640-5243

### SUMMARY

Over 12 years experience in programming, systems analysis, customer support, and technical writing, using IBM 360/65 (OS/MVT/HASP), IBM 370/155 (OS/MVT), IBM 370/145 and 155 (VM), IBM 370/168 (VS), IBM 1401, IBM 7094, RCA Spectra 70 (TSOS), Univac 1108. Utilized PL/I, COBOL, FORTRAN, Assembly, BASIC, Pascal, Basic Natural Language (MRI system 2000), RPG, Easytrieve, TOTAL, DASH, SNOBOL, ISAM, BSAM, VSAM, Generation Data Sets, IBM Utilities, and JCL.

### EXPERIENCE

#### **TECHNICAL SUPPORT REPRESENTATIVE FOR 7 YEARS -- CALL DATA SYSTEMS, INC.**

- Consulted with customers and salesmen. Analyzed and debugged running and programming problems (general trouble-shooting of all kinds). Did on-line programming, conversions, and benchmarks. Set up and trained new customers.
- Heavy use of JCL, IBM Utilities, Generation Data Sets, ISAM, BSAM, VSAM.
- Responsible for DOT, FAA, and other systems.

#### **MEMBER OF THE TECHNICAL STAFF FOR 1+ YEARS--COMPUTER SCIENCES CORPORATION.**

Worked on federal government contracts as follows:

- OMB - Participated in the programming, debugging, and implementation of the Receipts Subsystem of the Budget Preparation System, which produced the support material for the President's budget submission to Congress.
- HUD - Developed preliminary and detailed systems design of the Foreclosure Alert System and the Critical Path System, large-scale file updating and reporting systems. Designed report and data formats. Wrote the preliminaries and program specifications. Programmed part of the Foreclosure Alert System including the equation for spotting potential foreclosures. Documented and implemented the systems, involving extensive technical writing which produced 2 large user books. Utilized CSC's on-line time sharing system (INFONET Teleprocessing system).
- DOL-Designed, programmed, debugged, and implemented the Black Lung System.
- OMB - Responsible for the Government Printing System.

#### **PROGRAMMER/ANALYST FOR 1 YEAR--GEORGIA STATE UNIVERSITY.**

- Planned, designed, and wrote COBOL programs for academic systems. Wrote JCL. Debugged, implemented, documented, ran, and maintained information systems. Designed and produced special forms.
- Designed and wrote a preprocessor for grouping, editing, and setting up JCL for student programs.
- Designed and wrote a retrieval system for faculty skills, and programs for library, parking, and guidance evaluation systems.

#### **PROGRAMMER, MARKETING RESEARCH DEPT. FOR 3 YEARS--THE COCA-COLA COMPANY.**

- Planned, designed, and coded computer programs in PL/I. Tested data and programs. Documented and maintained systems and operating procedures. Worked with Data Control on encountered processing problems. Wrote JCL.
- Worked extensively on the Diary Panel System, which involved reports showing buying habits, brand-switching analysis, demographic information, and cross-tab information about consumers.
- Developed a retrieval system for providing sales reports.

### EDUCATION

STEPHENS COLLEGE, ASSOCIATE OF ARTS DEGREE.

UNIVERSITY OF GEORGIA, BACHELOR OF ARTS DEGREE.

AMERICAN UNIVERSITY, COURSE WORK TOWARD MASTERS OF SCIENCE IN TECHNOLOGY OF MANAGEMENT.  
FLUENT IN DUTCH.

*Anthony P. Lester*  
*DOB: 2/20/62*

Address:  
3639 SW 99 Ave #1  
Miami, FL 33165

Office: 305/554-9979  
Pag: 305/210-3778  
Fax: 305/559-7552

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## ASSETS

Organized, Aggressive, Detailed, Extremely Creative, Great Sense of Humor, Excellent Speaker and Problem Solver. Constantly striving to improve.

## PROFESSIONAL EXPERIENCE

### Jan 1997 - Present Vice President / Owner CD Guide, Inc.

Began full scale operations incorporating CD Guide, Inc. a full service developer of compact disc, related software, Internet access and corporate web page design. Using copyrighted scanning and search engine software, CD Guide, Inc. offers customized services at a fraction of the cost of related industries.

Since its inception, CD Guide, Inc. Has established itself as a cutting edge innovator in design, efficiency, cost effectiveness, time windows and overall customer service.

In just a few short months, CD Guide, Inc. has developed a substantial customer base as well as established relationships with major corporations including professional sports organizations with regard to our overall service portfolio.

### 1994 - Jan 1997 Executive Vice President / Owner, Visual Alarm Verification, Inc.

Developed business, sales and marketing plans for newly founded state of the art video compression software company. Assisted in the development of final prototype to meet industry standards, regulations and client specifications.

Established worldwide distribution network, pricing, sales contracts, commission structures, including operating budgets, purchasing and cost control. Supervised all day to day business operations.

VAV, Inc. received a top ten security industry rating in only its second year of operations resulting in lucrative buy out and merger offers, finally being acquired by the worlds largest security products manufacturer, " Ademco International "

page 2

1990 - 1994 Executive Consultant F.A.L. & Assoc. Inc.

Hired as consultant and financial trainee for F.A.L. & Assoc, Inc. a full service consulting, management & insurance company dedicated toward the complete operational needs of corporations ranging from Fortune 500 companies to small firms of all types.

Responsibilities included the complete analysis and necessary implementation with regard to the clients management, operating procedures, sales, marketing and production, etc. Implementation of sales and productivity training for large corporate clients, including the review of advertising and marketing approaches as well as the complete review of employee benefits and compensation packages.

Legal department activities included the preparation of due diligence research reports for client litigation. Gained tremendous experience in industrial engineering, SIS techniques, reasonable expectancy and machine utilization studies, job description and ratio delay reports and the improvement of employee moral and productivity. Geared toward the improvement of bottom line profitability.

1985 - 1990 Mass Market Director Costa Nursery Farms, Inc.

In charge of the acquiring and maintaining of large mass market chain store accounts, including the designing of million dollar foliage promotions as well as the execution, delivery and advertisement windows for all orders.

Negotiated nationwide holiday orders with large retailers ranging from \$100,000.00 to \$1,000,000.00 and personally acquired new accounts, such as The Home Depot, Walmart, Costco, Woolworth, etc.

**EDUCATION**

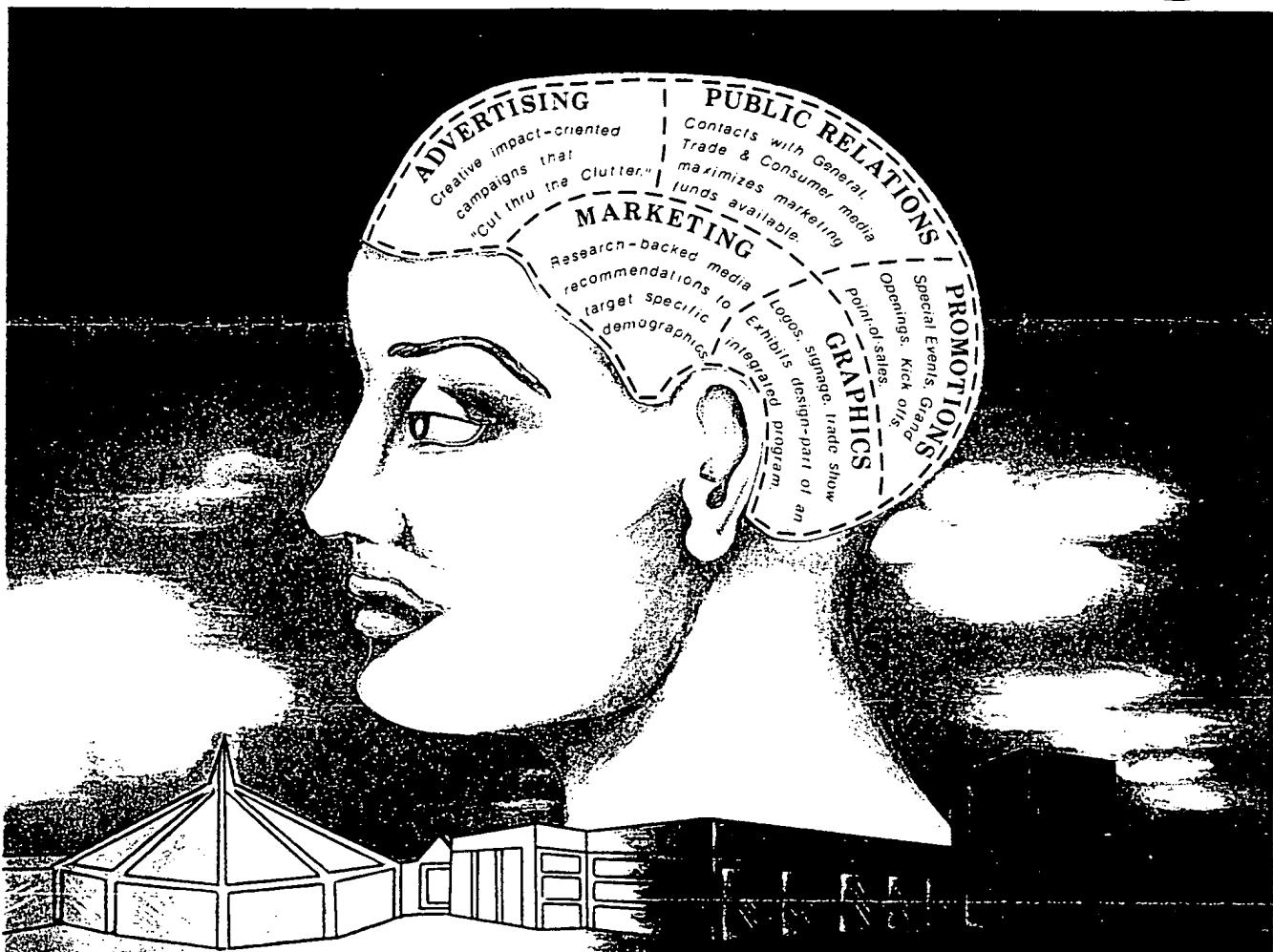
1980 - 1984 South Western Michigan University

Major: Business Administration, Marketing  
Minors: Public Speaking, philosophy

**LANGUAGES**

Fluent in English, Spanish, Italian.

# The Who's Who of Real Estate Marketing



## Or, How to Maximize Your Bottom Line

At Hammes Advertising, Inc., a full service advertising, marketing and public relations firm *with a specialized knowledge of real estate*, we prepare a total marketing package effectively designed to meet your sales and leasing objectives.

Our winning approach for London & Leeds Corp.'s 901 Ponce campaign swept the 1989 Florida Awards for Marketing Excellence -- the F.A.M.E. awards -- for marketing commercial real estate -- including:

- Best Print Ad
- Best Ad Campaign
- Best Collateral
- Best Corporate Campaign
- Best Special Event

At Hammes Advertising, we strive to maximize the most important aspect of our clients budget -- the bottom line. We think there's more to real estate marketing than location, location, location.

### Yes! I'd like to talk to you.

- Please phone for an appointment.
- Please send a brochure outlining your company's credentials.
- We have a big project, please call us immediately.

Contact: \_\_\_\_\_

Firm: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

## HAMMES ADVERTISING, INC.

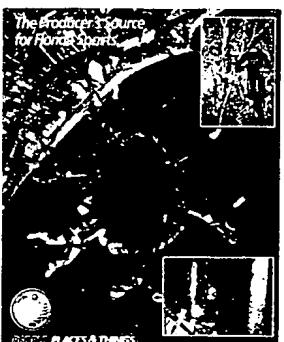
896 S. Dixie Hwy./Coral Gables, FL 33146/Tel.: (305) 667-1199, Fax: (305) 667-0440

Idea Net 98-International  
Data Exchange Network  
Patent Pending 60/115,343  
1496

PCT/US 00/00382



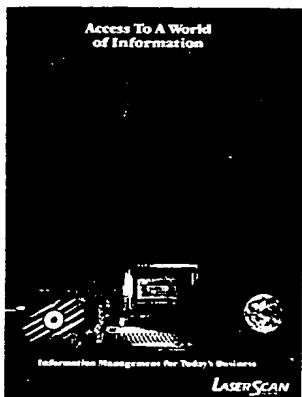
Products & Services Brochure  
for BE DESIGNS



Services Brochure for  
PEOPLE, PLACES & THINGS

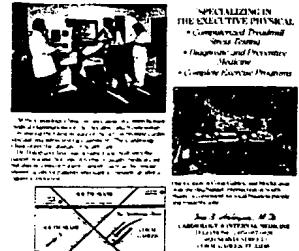


Corporate Brochure for  
GUARDSMAN SECURITY



Press Kit for LASER/SCAN  
(KENDALL COMPUTERS)

THE CORAL GABLES SOUTH MIAMI  
DIAGNOSTIC CENTER for EXECUTIVES



Chamber of Commerce Ad for  
the CARDIOLOGY CLINIC

## I.R.E. in the News

American Banker

The AMERICAN INSTITUTION

The New York Times

Wall Street Journal

Miami Herald

Sarasota Herald

South Florida Sun News

San Francisco Chronicle

Miami News

Newsletter for  
I.R.E. FINANCIAL

Tom McCarthy's  
**NATIONAL STOCK NETWORK**



National Trade Ad for  
NATIONAL STOCK NETWORK

**Hammes Advertising.**  
**An Ad Agency for Businesses**  
**That Would Rather**  
**Outsmart The Competition**  
**Than Outspend Them.**



**HAMMES ADVERTISING, INC.**  
ADVERTISING / MARKETING / PUBLIC RELATIONS

TELEPHONE: (305) 448-0668  
301 ALMERIA, SUITE 1B/CORAL GABLES, FL 33134

Member: Coral Gables Chamber of Commerce, Coral Gables Business Leaders, Advertising Federation of Greater Miami, National Association of Women Business Owners, South Florida Builders Association (Associate), Dade County Young Democrats (Director), Miami Board of Realtors (Associate), Licensed Real Estate Broker

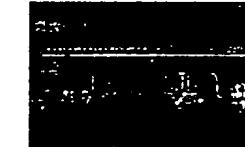


Product Catalog for  
WINDJAMMER CRUISES



Regional Trade Ad  
for CONTEMPORARY IMAGES

**"LEADERSHIP"**  
**BUILDING**  
**FUTURE**



Leasing Brochure  
for MIAMI INTER DESIGN

MIAMI  
INTER DESIGN

INTER DESIGN

MIAMI

INTER DESIGN

INTER DESIGN